



CHANGE OF ACCOUNT PARTICULARS FORM 戶口資料更改書

Client Name 客戶姓名		<input type="checkbox"/> Cash Account 現金賬戶
Account No. 戶口號碼		<input type="checkbox"/> Cash Account (CIES) 現金賬戶 (投資移民)
Effective Date 生效日期	<input type="checkbox"/> With Immediate Effect 即時生效	<input type="checkbox"/> From 由 _____ 開始
		<input type="checkbox"/> Margin Account 保證金賬戶
		<input type="checkbox"/> Stock Options Account 股票期權賬戶
		<input type="checkbox"/> Futures Account 期貨買賣賬戶
		<input type="checkbox"/> Wealth Management Account 財富管理賬戶
		<input type="checkbox"/> Asset Management Account 資產管理賬戶

Personal Particulars 個人資料

Residential Address 住址地址

Correspondence Address 通訊地址

(# Add / Change / Cancel)
(# 增加 / 更改 / 取消)

Note: An address proof issued within the last 3 months is required
備註: 須提供最近三個月發出之地址證明文件

Home Tel. 住宅

Mobile No. 手提電話

Fax No. 傳真

Office Tel. No. 辦公室電話

Email Address 電郵地址

Mobile Phone No.* for receiving SMS and One Time Verification Password 接收短訊及一次性手機驗證密碼之手提電話號碼

(# Add / Change / Cancel)
(# 增加 / 更改 / 取消)

Note: *It is defaulted that the contact mobile phone no. will be used for receiving SMS or one-time password for two-factor authentication purpose. Please provide both contact mobile phone number and the mobile number for receiving SMS or one time verification password if they are different. (# Please delete as appropriate)
備註: *請注意聯絡手提電話號碼將預設用作收取訊息或一次性登入密碼作雙重驗證之用。如客戶接收訊息或一次性手機短訊驗證密碼的電話號碼與聯絡手提電話號碼不相同, 請同時填寫首兩項以作區別。(# 請刪去不適用者)

Method of Account Statement Delivery 戶口結單發送方式

By Post to Correspondence Address 郵寄至通訊地址

By E-mail 電子郵件

@ _____

By giving the email address above, I/we hereby acknowledge and agree to receive the daily statements of account and monthly statements of account via electronic mail from Emperor Securities Limited and/or Emperor Futures Limited. I/We understand and acknowledge that no hard copy of the above-mentioned statements will be received thereafter. I/We also understand and acknowledge that Emperor Securities Limited and/or Emperor Futures Limited shall not be responsible for any delay or failure in the transmission, receipt of information due to either a breakdown or failure of transmission of communication facilities, or any unreliable medium of communication or to any uncontrollable or unanticipated cause or other causes. 備註: 透過提供上述電郵地址, 本人/吾等同意接受以電郵形式收取由英皇證券有限公司及/或英皇期貨有限公司發出之月結單及月結單。本人/吾等明白及確認有關服務生效後, 英皇資本將停止以郵遞方式發放本人/吾等之月結單及月結單。本人/吾等亦明白英皇證券有限公司及/或英皇期貨有限公司將不會對因通訊設施發生故障或傳送失靈, 或因任何不可完全倚賴之通訊媒介, 或非英皇資本控制範圍或預測之任何其他原因所造成傳訊或收取資訊之延誤負擔任何責任。

Financial Arrangements 財務安排

Bank Name 銀行名稱

(# Add / Change / Cancel)
(# 增加 / 更改 / 取消)

Account No. 賬戶號碼

Location of the Bank Account 銀行戶口所在地

Hong Kong 香港

Other 其他 _____

Currency 貨幣

HKD 港幣 USD 美元

Other 其他 _____

Note: Please provide the supporting document. (# Please delete as appropriate)
備註: 請提供相關證明文件。(# 請刪去不適用者)

Employment Status 工作狀況

Employment Status 工作狀況

Employed 受僱

Self-employed 自僱

Unemployed 非受僱

Occupation/Business Nature 職業 / 業務性質

Joe Title 職位

Years of Service 服務年資

Name of Employer 僱主名稱

Business Address 公司地址

Office Tel. No. 辦公室電話



Financial Information 財務資料			
Annual Income (in HK\$) 每年收入 (港元)	<input type="checkbox"/> ≤ \$200,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000	<input type="checkbox"/> \$200,001 - \$500,000 <input type="checkbox"/> >\$5,000,000	<input type="checkbox"/> \$500,001 - \$1,000,000
Source of Income 收入來源	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Interest 利息	<input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Investment profit 投資利潤 <input type="checkbox"/> Pension 退休金	<input type="checkbox"/> Business Profit 商業利潤 <input type="checkbox"/> Dividend 股息 <input type="checkbox"/> Others 其他: _____
Net Asset Value (in HK\$) 資產淨值 (港元)	<input type="checkbox"/> ≤ \$100,000 <input type="checkbox"/> \$3,000,001 - \$8,000,000	<input type="checkbox"/> \$100,001 - \$500,000 <input type="checkbox"/> >\$8,000,000	<input type="checkbox"/> \$500,001 - \$3,000,000
Source of Fund 資金來源	<input type="checkbox"/> Saving 儲蓄 <input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Inheritance 遺產繼承	<input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Family 家人 <input type="checkbox"/> Others 其他: _____	<input type="checkbox"/> Investment gain 投資獲利
Ownership of Residence 住屋業權	<input type="checkbox"/> Owned 自置 <input type="checkbox"/> Mortgaged/Monthly Instalment 按揭 / 每月供款 (HK\$ 港元): _____ <input type="checkbox"/> Rented/Monthly Rental 租用 / 每月供款(HK\$ 港元): _____ <input type="checkbox"/> Others 其他: _____		

Dormant Account Reactivation 重新啟動不動戶	
<input type="checkbox"/> Dormant Account Reactivation 重新啟動不動戶 (An address proof issued within the last 3 months is required 須提供最近三個月發出之地址證明文件)	<p>I/We would like to reactivate the Dormant Account and confirm that the account information is consistent with Emperor Capital's records and/or the latest account information has been provided. I/We read, understood and agreed the terms and conditions of latest client agreement of Emperor Capital in www.EmperorCapital.com including but not limited to Commission Schedule, Standing Authority under the Securities and Futures (Client Money) Rules and Securities and Futures (Client Securities) Rules etc.</p> <p>本人 / 吾等欲重新啟動不動戶，並確認戶口資料與英皇資本的記錄相同及 / 或已提供最新的戶口資料。本人 / 吾等已閱讀、明白及同意載列於 www.EmperorCapital.com 下英皇資本最新的客戶協議包括但不限於收費表、根據《證券及期貨（客戶款項）規則》作出的常設授權及根據《證券及期貨（客戶證券）規則》作出的常設授權等之一切條款及細則。</p>

Others 其他			
Reset Internet Trading Password 重設電子帳戶密碼	<input type="checkbox"/> Securities Account 證券帳戶	<input type="checkbox"/> Futures Account 期貨帳戶	<input type="checkbox"/> Stock Options Account 股票期權帳戶
New Signature Specimen 新簽名式樣	(Please sign the new signature specimen on the valid proof of identity and only accept our licensed representative or staff of Emperor Capital Group for the witness) (請於有效身份證明文件副本上提供新簽名式樣，及見證人僅限於英皇資本集團的持牌代表或僱員)		
	Signature of Witness 見證人簽署	Full Name 姓名	Date 日期
Others (Please specify) 其他 (請說明)			

I/We confirm that except for the changes to the above information, other information retained in Emperor Capital (including but not limited to personal particulars, financial arrangements, employment status, financial information and other parts) have not been changed. I/We understand that Emperor Capital shall have absolute rights to change, amend or substitute any of the terms and provisions of Agreement and publish at website: www.EmperorCapital.com of Emperor. All the aforesaid change, amend or substitution shall be taken as forming part of Agreement and shall be deemed as effective on the date of publication of such amendment. The Client should pay attention to the announcement/notice promulgated on mentioned website from time to time.

本人 / 吾等確認除更改上述資料外，其他留存於英皇資本的資料 (包括但不限於個人資料、財務安排、工作狀況、財務資料及其他部分) 沒有更改。本人 / 吾等明白英皇資本有絕對之權利不時更改、修訂或取替本協議中任何條款及細則並刊載於英皇資本網址: www.EmperorCapital.com，而所有有關更改、修訂或取替將被視為列入本協議條款內並視作於上述網址刊載當日生效。本人 / 吾等應不時留意上述網址刊載的公告及通知。

客戶簽署

(簽名式樣須與英皇資本集團之記錄相符)

日期

For Office Use Only 只供本公司專用	
Noted By:	Signature verified, checked and Processed by:
(AE)	(L & C Dept.)
Date:	Date:



Due Diligence Checklist 盡職審查清單

For Internal Use Only 僅限內部使用

Item	Descriptions (Completed by: <input type="checkbox"/> AE / <input type="checkbox"/> Staff)	Yes 是	No 否
Part (A) For All Account 適用於所有客戶			
1.	(a) Does client, beneficial owner or connected parties' wealth or income is incompatible with age / address / occupation or the business nature is related to the high-risk or cash-intensive industries ⁽¹⁾ ? 客戶、實益擁有人或有關人士的財富或收入來源與其年齡、住址或職業等是否不相稱? 或其業務性質是否涉及高風險或現金密集型行業 ⁽¹⁾ ? <small>(1) High-risk or cash-intensive industries includes those business are high AML risk or receives a significant amount of receipts in cash but not limited to Weapons & Ammunition Manufacturer, Gambling, Money Changers, Military sector, Antique Dealer, Jewelry & Goldsmith Manufacturer, Precious Metal Trading, Art Piece Working Trading or Cryptocurrency Trading Service Provider etc. 高風險或現金密集型行業包括但不限於武器和彈藥製造商、賭博、貨幣兌換商、軍事部門、古董商、珠寶或金屬製造商、貴金屬交易或藝術品工作、加密貨幣交易服務商等高風險流錢行業或涉及大量現金交易的行業。</small>	<input type="checkbox"/>	<input type="checkbox"/>
	(b) Is client involved / having controlling power in high-risk industries ⁽¹⁾ ? 客戶是否對高風險行業 ⁽¹⁾ 有參與 / 擁有控制權?	<input type="checkbox"/>	<input type="checkbox"/>
2.	Does client refuse to provide the information requested without reasonable explanation or who otherwise refused to cooperate with the client due diligence and/or ongoing monitoring process? 客戶是否在沒有合理情況解釋下拒絕提供資料或在盡職審查和 / 或為持續監控程序中拒絕提供資料?	<input type="checkbox"/>	<input type="checkbox"/>
3.	Any indicators of unmatched information of customers is noted? 客戶提供的資料是否有不匹配的地方?	<input type="checkbox"/>	<input type="checkbox"/>
Part (B) For Individual/Joint Account only 只適用於個人 / 聯名客戶			
4.	Is client fails to disclose double citizenship or tax residence? 客戶是否拒絕披露雙重國籍或稅務居所?	<input type="checkbox"/>	<input type="checkbox"/>
Part (C) For Corporate Account only 只適用於公司客			
5.	Is client have a complex shareholding structure? (e.g. involving five more layers of ownership structure, involving five more places of incorporation, involving trust / unregulated investment fund / nominees shareholder etc.) 客戶是否擁有複雜的股權架構? (例如: 涉及五層或以上架構、涉及五個或以上的成立地、涉及信託 / 不受監管的投資基金/代名股東等)	<input type="checkbox"/>	<input type="checkbox"/>
6.	Is client an unlimited company or sole proprietorships or partnerships or any other body unincorporated business? 客戶是否屬於無限公司或獨資業務或合夥業務或其他非屬法團的團體業務?	<input type="checkbox"/>	<input type="checkbox"/>
Part (D) Additional Information 額外資料			
Please provided any additional information for continuous/maintaining business relationship in Part A to C if the answer(s) to any "Yes" in the question(s) 如在上述 A 部至 C 部份回答 "是"，請提供相關額外資料。			
Part (E) Confirmation by AE / Staff 經紀 / 職員確認			
I have reviewed the information and supporting documents (if any) including jurisdiction of residence / tax residence provided by client on the CRS Self-Certification Form(s) and confirmed that the information provided by the client is consistent with my knowledge. 本人已審閱客戶資料及其相關證明文件 (如有) 包括共同匯報標準與稅務表格及確認客人已清楚明白上述相關資料。 Prepared and acknowledged by, _____ Date _____			
Name of AE / Staff _____ Date _____			
Item	Descriptions (Completed by Legal & Compliance Department) (法律及合規部使用)	Yes 是	No 否
Part (F) For Internal Checking			
7.	Is client, beneficial owner or connected party a politically exposed person ("PEP")? If yes, please describe: <input type="checkbox"/> Hong Kong PEP <input type="checkbox"/> Non-Hong Kong PEP <input type="checkbox"/> Former Hong Kong PEP <input type="checkbox"/> Former non-Hong Kong PEP	<input type="checkbox"/>	<input type="checkbox"/>
8.	Is client, beneficial owner or connected party from or resided from Medium risk (excluded China and Hong Kong) or High risk county/city indicated by Emperor's high risk county list? If Yes, name of the country: _____	<input type="checkbox"/>	<input type="checkbox"/>
9.	Is client, beneficial owner or connected party from the current list of published by the Government, the governments of overseas jurisdictions or the United Nations etc.?	<input type="checkbox"/>	<input type="checkbox"/>
10.	Is client, beneficial owner or connected party is a person wanted or restricted by International Police / Hong Kong Police / ICAC / SFC etc.?	<input type="checkbox"/>	<input type="checkbox"/>
11.	Any screening on the client or connected parties result in negative tax-related news? (e.g. Tax fraud or convictions on tax crime etc.)	<input type="checkbox"/>	<input type="checkbox"/>
If "yes" answer(s) appears for any Part(s) of the above question(s), please proceed to the Enhance Due Diligence procedure or reject the account opening application directly.			
<input type="checkbox"/> Yes, please proceed EDD procedure		<input type="checkbox"/> No, client's risk assessment remain unchanged	
Noted by, _____ Name of L&C: _____ Date: _____		Approved By, _____ Name of L&C: _____ Date: _____	