京華山一 Core Pacific-Yamaichi

Client's Profile Confirmation (Individual) 客戶資料確認書 (個人帳戶)

Client name 客戶名稱: ________________________________ Account No.帳戶號碼: ______________________

Section A – Client Personal Information 客戶個人資料	Any change? 有沒有變更? If yes, please download and complete relevant form. Pass to your AE for further proceed 如有變更或補充，請下載及填寫有關表格，交回閣下經紀人處理	
1. Personal particulars 個人資料 ➢ Residential Address/ Mailing Address 住址/郵遞地址 ➢ Mobile phone number 手提電話號碼 ➢ Email address 電郵地址	☐ No 沒有	☐ Yes 有 ☐ Did not provide 從未提供 https://www.cpy.com.hk/webfile/download/pdf/ChangeofAccountDetailsIndividual.pdf **Email Address 電郵 *(Required for account reactivation 重啟帳戶必須提供)*** ______________________________
2. Identification information 身份證明資料 ➢ Identity Document/Passport Number 身份證明文件/護照號碼 ➢ Jurisdiction of Tax Residence and/or TIN (CRS Self-Certification for Common Reporting Standard) 稅務管轄權所屬國家及/或稅務識別號碼 (共同匯報標準- 自我證明)	☐ No 沒有	☐ Yes 有 ☐ Did not provide 從未提供 https://www.cpy.com.hk/webfile/download/pdf/ChangeofNameIdentityDocumentandSpecimenSignature.pdf

Section B –Business/Employment Information and Financial Information 商務/就業資料及財務資料	Please select or fill in the latest information 請選擇/填寫最新資訊
1. Employment status 就業情況	☐ Employed 受僱 ☐ Self-employed 自僱 ☐ Retired 退休 ☐ Student 學生 ☐ Unemployed 沒有就業 ☐ Others (please specify) 其他 (請註明):
2. Name of Employer / Self-owned Business / Institution (if applicable) 僱主/自營業務/學校名稱 (如適用)	
3. Nature of Business (if applicable) 業務性質 (如適用)	
4. Occupation / Position (if applicable) 職業/職位 (如適用)	
5. Years in occupation (if applicable) 就業年數 (如適用)	
6. Annual Income (HK$) 年收入	☐ <HK$200,000 以下 ☐ HK$200,000 – <HK$500,000 以下 ☐ HK$500,000 - <HK$1,000,000 以下 ☐ HK$1,000,000 - <HK$2,000,000 以下 ☐ HK$2,000,000 - <HK$5,000,000 以下 ☐ HK$5,000,000 or above 或以上
7. Client's source of funds/wealth were from 客戶之資產/資金來源自 *[可選多項 Multiple selection]*	☐ Salary 薪金 ☐ Rental 租金 ☐ Saving 存款 ☐ Inheritance 遺產 ☐ Investment 投資 ☐ Others (please specify) 其他 (請註明): ____________________
8. The country(ies) of origin(s) of Client's fund are 閣下之資金來源地為 *[可選多項 Multiple selection]*	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ Taiwan 台灣 ☐ Macau 澳門 ☐ Others (please specify) 其他 (請註明): ____________________
9. The country(ies) of origin(s) of Client's wealth are 閣下之資產來源地為 *[可選多項 Multiple selection]*	☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ Taiwan 台灣 ☐ Macau 澳門 ☐ Others (please specify) 其他 (請註明): ____________________
10. Client's total Net Worth (HK$) 客戶之淨值總額	☐ <HK$200,000 以下 ☐ HK$200,000 – <HK$500,000 以下 ☐ HK$500,000 - <HK$1,000,000 以下 ☐ HK$1,000,000 - <HK$5,000,000 以下 ☐ HK$5,000,000 - <HK$10,000,000 以下 ☐ HK$10,000,000 or above 或以上

京華山一
Core Pacific-Yamaichi

Section C – Investment Experience 投資經驗	Please select or fill in the latest information 請選擇/填寫最新資訊	
1. Client's Main Investment Objective 客戶主要投資目標	☐ Capital Preservation 保本 ☐ Capital Growth 資本增值 ☐ Dividend Yield 股息回報 ***[請選一項 Please choose one]*** ☐ Hedging 對沖 ☐ Speculation 投機	
2. Does Client wish to trade derivative product(s)at CPY? 客戶是否有意於京華山一進行衍生產品買賣?	☐ No 沒有	☐ Yes 有 please download and complete D64 form. Pass to your AE for further proceed if necessary 如有需要，請下載及填寫表格 D64，交回閣下經紀人處理) https://www.cpy.com.hk/webfile/download/pdf/ Client_DeclarationRiskDisclosureDerivativesProducts_tc.pdf

Section D – Remarks (if any) 備注 (如有)	Please fill in the latest information 請填寫最新資訊

Section E –Channel and Details of Client Profile Confirmation 確認客戶資料途徑及詳情

I/We/Our Company hereby declare that the information provided and the statements made in this form are, to the best of my/our knowledge and belief, true, correct, and complete.
本人/吾等/本公司謹此聲明，本表格所提供之資料及所作之陳述，均屬本人/吾等/本公司所知及所信之真實、正確及完整。

☐ I/We/Our Company respectfully request the reactivation of the account(s) mentioned herein. I/We/Our Company agrees to reactivate the above Account(s) with CPYI and/or CPYF on all the provisions of this Account Opening Form and the Terms and Conditions for Trading Accounts (the "Terms and Conditions") applicable to the type of Account(s) that the Client applies to reactivate , where the Terms and Conditions (which may be amended from time to time) can be accessed on the following websites: http://www.cpy.com.hk/webfile/download/pdf/TnC_en.pdf and/or http://www.cpy.com.hk/webfile/download/pdf/TnC_tc.pdf.
本人/吾等/本公司並在此正式申請重新啟用上述帳戶，並同意按照交易帳戶條款及條件(「**帳戶條款及條件**」)內列載適用於客戶申請重新啟用的有關類別帳戶的一切有關條款，在京華山一國際及／或京華山一期貨開立上述帳戶，而交易帳戶條款及條件(可不時被修訂)可透過以下網址查閱：http://www.cpy.com.hk/webfile/download/pdf/TnC_en.pdf 及/或 http://www.cpy.com.hk/webfile/download/pdf/TnC_tc.pdf 。

☐ AE verify client's information through recording phone 經紀以錄音方式確認客戶資料:
Recording Date 錄音日期 ________________ Time 時間 ______________________ Ext no.內線號碼 __________________

☐ AE verify client's information face to face 經紀以面見方式確認客戶資料: Meeting date 面見日期 _______________________

Client's signature 客戶簽署 **AE Signature 經紀簽署** ☐ **Client has deposited funds for reactivating the dormant account**
客戶已存入款項以作重啟不動交易帳戶之用

_____________________________ ____________________________

INTERNAL USE ONLY – Designation of AE (if applicable – for client taken over by new AE) 經紀委派 (如適用 - 經紀新接管客戶)

☐ AE is required to complete (D80) "Client Risk Category Checklist" 經紀需填寫「客戶風險級別對照表」

☐ AE agree and accept to handle this client account, and should seek additional information from the Client about his/her financial situation, investment experience and investment objectives, if necessary. 經紀同意並接受接管此帳戶。如有需要，將向客戶查詢更多有關客戶的個人財務狀況、投資經驗及投資目的的相關資料。

AE Name 經紀名稱__________________________	AE Code: 經紀編號: _____________	AE Signature: 經紀簽署:________________	Date: 日期: _______________

INTERNAL USE

☐ SV: ______________________ ☐ D64 Client's Declaration on Exchange Traded Derivatives Products ☐ D67A AE Declaration on Handling Vulnerable Client ☐ D80 Client Risk Category Checklist ☐ AML checking ☐ Fund in ☐ Bank proof / Registered bank account in HK or in eligible jurisdiction – mainland ☐ D0095 – Declaration and Undertaking for Chinese Mainland Investors	Approved by BM/Sales Head: __________________ Date: __________________ Inputted by:_____________________________ Date: __________________ Checked by: _________________________________ Date: __________________ Scanned by: _________________________________ Date: __________________