

5. 擁有權結構 (包括最終實益擁有人及中介層等) *如有更改, 請提供請提供詳細列表及最終實益擁有人的姓名、身份證/護照號碼、國籍、職業、聯絡電話及地址 Ownership structures (include the Ultimate Beneficiary(ies) and intermediate layer(s)) *For any changing, please provide updated details and the Name, ID / Passport No, Nationality, Occupation, Contact No and Address of Ultimate Beneficiary(ies).	<input type="checkbox"/> 不變 Unchange <input type="checkbox"/> 新增 Add <input type="checkbox"/> 更改 Change	
6. 聯絡資料 (如電話號碼、電郵地址、傳真號碼等) Contact Information (e.g. phone number, e-mail address, fax number, etc)	<input type="checkbox"/> 不變 Unchange <input type="checkbox"/> 新增 Add <input type="checkbox"/> 更改 Change	
7. 業務性質 Nature of Business	<input type="checkbox"/> 不變 Unchange <input type="checkbox"/> 更改 Change	
8. 投資目的 (例如資本增值, 對沖等) Investment Objectives (eg. Capital appreciation, Hedging etc)	<input type="checkbox"/> 不變 Unchange <input type="checkbox"/> 新增 Add <input type="checkbox"/> 更改 Change	
備註 Remark:		

***客戶簽署 (連同公司印章) Client Signature (with company chop)

銷售員工簽署 Sales Staff Signature

日期 Date : _____

日期 Date : _____

(***)只適用於以見面或書面形式進行的確認 Only applicable to face-to-face or written confirmation)

由銷售員工填寫 Completed by Sales Staff			
類別 Type: <input type="checkbox"/> 年度盡職審查 Annual Customer Due Diligence 驗證客戶資料 Client Information Verification: <input type="checkbox"/> 把不動戶重新活躍起來 Dormant account reactivation <input type="checkbox"/> 戶口的實益擁有權或控制權有變 Change in the beneficial ownership or control of the account *****如屬下列原因, 請先諮詢合規部***** <input type="checkbox"/> 將進行一項重大交易 A significant transaction is to take place <input type="checkbox"/> 戶口的操作模式出現相當程度的轉變 Material change occurs in the way the customer's account is operated <input type="checkbox"/> 對客戶文件的標準作出頗大的修訂 Customer documentation standards change substantially <input type="checkbox"/> 客戶的資料並不足夠 Lacks of sufficient information about the customer <input type="checkbox"/> 其他 Others: _____			
負責人員審批 Responsible officer approval			
<input type="checkbox"/> 已查聽電話錄音 <input type="checkbox"/> 已致電客戶核實 助理簽署 Assistant Signature: _____ 負責人員簽署 Responsible officer Signature: _____			
For internal use only			
S.V.	Review and input	Review and check	Remark