

Client Information Confirmation (Individual/ Joint Client)

覆核客戶資料表格(個人/聯名客戶)

Please complete form and tick "✓" where appropriate and cross out those not applicable.
請填寫本表格上各欄，並在適當的方格內加上 "✓" 號及刪除不適用者。

客戶資料 Client Information	
帳戶名稱 Account Name:	
帳戶號碼 Account No.:	
客戶經理/ 銷售人員/ 業務部門 Account Manager/ Sales Staff/ Department:	
持牌人士名稱 Name of Licensed Person:	
與客戶聯絡日期 Date of Client Contact:	
聯絡方法 Client Contact Method:	<input type="checkbox"/> 電話*Phone* <input type="checkbox"/> 會面 In Person <input type="checkbox"/> 書面/電郵 (已註冊的電郵地址) Correspondence/E-mail (registered e-mail address)
分機號碼* Extension* :	聯絡時間 Contact Time:

*如使用電話與客戶聯絡，需使用錄音電話系統

*Using telephone recording system is required if contact client through telephone.

如需要改動第一至五項資料 (即地址、第三者授權、最終實益擁有人、聯絡資料等)，客戶需要簽署此表格作更改資料指示及提供相關文件。若需要更改的資料並不涉及上述提及之類別，可使用錄音電話系統與客戶聯絡作更改資料指示之用。

#If client would like to change the item 1-5 of account information (such as address, third party authorization, beneficial owner, contact information, etc), client need sign this form as an instruction for information change and provide further supporting document(s). For those updated information are not mentioned as above, telephone recording system can be using for contacting client which client signature is not required for such information update instruction.

Account Information# 戶口資料#		
Account Information 戶口資料	Situation 狀況	資料更改詳情 Details of Information Change
1. 通訊地址 Correspondence Address (如更改，客戶必須提供最近 3 個月之地址證明 For any changing, please provide a valid address proof within 3 months)	<input type="checkbox"/> 不變 Unchange <input type="checkbox"/> 更改 Change	
2. 住宅地址 Residential Address (如更改，客戶必須提供最近 3 個月之地址證明 For any changing, please provide a valid address proof within 3 months)	<input type="checkbox"/> 不變 Unchange <input type="checkbox"/> 更改 Change	
3. 第三者操作帳戶授權 Authorization for Third Party to operate account *如有變更，請提供詳細資料，填寫及簽署第三者授權書 *Please provide the updated details if there is any changing; kindly complete and sign the third party	<input type="checkbox"/> 不變 Unchange <input type="checkbox"/> 新增 Add <input type="checkbox"/> 更改 Change	
4. 最終實益擁有人 *如有更改，請提供姓名、身份證/護照號碼、國籍、職業、聯絡電話及地址 Ultimate Beneficiary(ies) *For any changing, please provide the Name, ID / Passport No, Nationality, Occupation, Contact No and Address.	<input type="checkbox"/> 不變 Unchange <input type="checkbox"/> 新增 Add <input type="checkbox"/> 更改 Change	

5. 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	
6. 就業情況 Employment Status	<input type="checkbox"/> 不變 Unchange <input type="checkbox"/> 更改 Change	
7. 僱主名稱 Name of Employer	<input type="checkbox"/> 不變 Unchange <input type="checkbox"/> 更改 Change	
8. 業務性質 Nature of Business	<input type="checkbox"/> 不變 Unchange <input type="checkbox"/> 新增 Add <input type="checkbox"/> 更改 Change	
9. 資金來源 Source of Fund	<input type="checkbox"/> 不變 Unchange <input type="checkbox"/> 新增 Add <input type="checkbox"/> 更改 Change	
10. 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 Client Signature**

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