



6. 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"/> 更改 Change	
7. 業務性質是否以下行業 Nature of business involves the following industry:  當舖、貨幣兌換商、桑拿室、酒吧、夜總會、麻雀館、賭場及其他博彩相關業務等涉及處理大量現金的行業、名貴金屬、寶石或珠寶經銷商、藝術品及古董經銷商及拍賣行等昂貴或名貴商品經銷商、軍火類企業、虛擬貨幣業務 (If the nature of business involves the following, please provide details: pawn shop, money or payment service business, sauna, bar, night club, casino and gambling related business, etc. involving cash intensive business, precious metals, precious stones or jewellery dealer, arts and antiques dealer, or auction house, etc. expensive goods deal, weapons industry, virtual currency.)	<input type="checkbox"/> 是 Yes 請註明行業, please specify industry _____  <input type="checkbox"/> 否 No 請註明行業, please specify industry _____	
8. 客戶或其最終實益擁有人現在 / 曾經是否政治人物(包括國家高級政府、司法或軍事官員、國有企業高級行政人員、人大代表、政協等), 政治人物的親屬或與政治人物關係密切的人 Are/were you or the beneficiary owners of the account a Politically Exposed Person (PEP) , family member of a PEP or close associate of PEP?  客戶或其最終實益擁有人現在 / 曾經是否有涉及法律訴訟刑事罪行拖欠款項事件破產 Have you or the beneficial owners of the account ever been in lawsuit, criminal offense, delinquency or bankruptcy?	<input type="checkbox"/> 是 Yes 請註明, please specify _____  <input type="checkbox"/> 否 No	
9. 投資目的 Investment Objectives	<input type="checkbox"/> 保本 capital preservation <input type="checkbox"/> 儲蓄、累積財富 savings and wealth accumulation <input type="checkbox"/> 賺取穩收入及資本增值 make stable income and capital appreciation <input type="checkbox"/> 資本增值 capital appreciation <input type="checkbox"/> 願承受高風險以賺取較高潛在回報/收益/增值 Willing to take high risk for higher potential return/income/appreciation	
10. 資金來源 Source of Fund (可選多過 1 項 Can choose more than 1 option)	<input type="checkbox"/> 公司營運資金 Company Operating Fund <input type="checkbox"/> 其他(請註明) Other (please specify): _____	
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 : \_\_\_\_\_

(\*\*\*) 只適用於以見面或信件形式進行的確認 Only applicable to face-to-face or mail confirmation)

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類別 Type:

- (a) 將進行一項重大交易 A significant transaction is to take place
- 客戶的背景資料與交易不符合 inconsistency between client's background and the transactions
- (b) 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
- 客戶新增帳戶 (加開證券、期權或期貨帳戶以使用任何服務，包括滬深港通或股票借貸安排等) client opening a new account (addition of securities, options, futures account for any services including Shanghai- and Shenzhen-Hong Kong Stock Connect, stock borrowing and lending etc.)
- (c) 對客戶文件的標準作出頗大的修訂 Customer documentation standards change substantially
- 客戶風險評級因素有變，例如：新增高國家風險或高行業 Change in customer risk assessment factors, e.g. addition of high risk country or high risk business.
- (d) 客戶的資料並不足夠 Lacks of sufficient information about the customer
- 未有取得活躍客戶的身分證明、地址、業務性質的資料 Not obtained identity, address, and nature of business information of active client.
- (e) 把不動戶重新活躍起來 Dormant account reactivation
- (f) 戶口的實益擁有權或控制權有變 Change in the beneficial ownership or control of the account
- (g) 其他 Others: \_\_\_\_\_

負責人員審批 Responsible officer approval

負責人員簽署 Responsible officer Signature: \_\_\_\_\_

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S.V.	Review and input	Review and check	Remark