

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:	
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"/> 信件 Mail <input type="checkbox"/> 電郵 (已註冊的電郵地址/ 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.*

如需要改動第一至六項資料 (即地址、第三者授權、最終實益擁有人、聯絡資料、身份證明文件等)，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 1-6 of account information (such as address, third party authorization, beneficial owner, contact information, identity document 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. 身份證明文件(例如身份證/ 護照等) Identity document (eg. Identity card/ passport etc)	<input type="checkbox"/> 不變 Unchange <input type="checkbox"/> 新增 Add <input type="checkbox"/> 更改 Change	
7. 就業情況 Employment Status *請回答第 8-11 Please reply Q 8-11	<input type="checkbox"/> 非在職 Not currently employed <input type="checkbox"/> 學生 Student <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 家庭主婦 Housewife <input type="checkbox"/> 受僱 Employed* <input type="checkbox"/> 自僱 Self-Employed* <input type="checkbox"/> 其他，請註明 Others, please specify* : _____	
8. 僱主名稱 Name of Employer		
9. 服務年期 Years of Service		
10. 僱主業務性質是否以下行業 Nature of Business of Employer 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 _____	
11. 職位 Position	<input type="checkbox"/> 董事 director <input type="checkbox"/> 主席 chairman <input type="checkbox"/> 高級管理人員 senior management <input type="checkbox"/> 中級管理人員 middle management <input type="checkbox"/> 一般員工 general staff <input type="checkbox"/> 合夥人 Partner <input type="checkbox"/> 專業人士 Professional <input type="checkbox"/> 其他, 請註明 Others, please specify: _____	
12. 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	
13. 資金來源 Source of Fund (可選多過 1 項 Can choose more than 1 option)	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Business Profit 商業利潤 <input type="checkbox"/> Given by family 家庭給予 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Others (please specify)其他 (請註明) : _____	

14. 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
備註 Remark:	

***客戶簽署 Client Signature

銷售員工簽署 Sales Staff Signature

日期 Date : _____

日期 Date : _____

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

供內部使用 For Internal Use Only			
類別 Type: <ul style="list-style-type: none"> <input type="checkbox"/> (a) 將進行一項重大交易 A significant transaction is to take place <ul style="list-style-type: none"> • 客戶的背景資料與交易不符合 inconsistency between client's background and the transactions <input type="checkbox"/> (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 <ul style="list-style-type: none"> • 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.) <input type="checkbox"/> (c) 對客戶文件的標準作出頗大的修訂 Customer documentation standards change substantially <ul style="list-style-type: none"> • 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. <input type="checkbox"/> (d) 客戶的資料並不足夠 Lacks of sufficient information about the customer <ul style="list-style-type: none"> • 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. <input type="checkbox"/> (e) 把不動戶重新活躍起來 Dormant account reactivation <input type="checkbox"/> (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 <input type="checkbox"/> (g) 其他 Others: _____ 			
負責人員審批 Responsible officer approval			
負責人員簽署 Responsible officer Signature: _____			
For internal use only			
S.V.	Review and input	Review and check	Remark