交銀國際控股有限公司
BOCOM International Holdings Co.,Ltd.

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.:

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 個月內發出之地址証明 For any changing, please provide a valid address proof issued within 3 months)	□ 不變 Unchange □ 更改 Change	
2. 住宅地址 Residential Address (如更改，客戶必須提供最近 3 個月內發出之地址証明 For any changing, please provide a valid address proof issued within 3 months)	□ 不變 Unchange □ 更改 Change	
3. 第三者操作帳戶授權 Authorization for Third Party to operate account	□ 不變 Unchange □ 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.	□ 不變 Unchange □ 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)	□ 不變 Unchange □ 新增 Add □ 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) 請提供證明文件 Please provide the identity document	□ 不變 Unchange □ 新增 Add □ 更改 Change	

7. 投資目的 (例如資本增值，對沖等) Investment Objectives (eg. Capital appreciation,Hedging etc)	□ 不變 Unchange □ 更改# Change#	# 如有更改，請填寫及交回「投資經驗問卷」Please sign and return the Investment Experience Questionnaire.
8. 就業情況 Employment Status *請回答第 9-12 Please reply Q 9-12	□ 非在職 Not currently employed □學生 Student □ 退休 Retired □家庭主婦 Housewife □受僱 Employed* □ 自僱 Self-Employed* □ 其他，請註明 Others, please specify* :________________	
9. 僱主/公司名稱 Name of Employer/ Company		
10. 服務年期 Years of Service		
11. 僱主/公司業務性質 Nature of Business of Employer/ Company	☐ 是 Yes (請圈出 Please circle) 當鋪、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、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、軍火類企業、虛擬貨幣業務 pawn shop, money or payment service business, sauna, bar, night club, casino and gambling related business, precious metals, precious stones or jewellery dealer, arts and antiques dealer, or auction house, weapons industry, virtual currency ☐ 否 No 請註明, please specify ________________________	
12. 職位 Position	□ 董事 director □ 主席 chairman □ 高級管理人員 senior management □ 中級管理人員 middle management □ 一般員工 general staff □ 合夥人 Partner ☐股東 Shareholder □ 專業人士 Professional □ 其他, 請註明 Others, please specify: ________________	
13 (i). 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?	□ 是 Yes 請註明, please specify ________________ □ 否 No	

13 (ii). 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?	□ 是 Yes 請註明, please specify ___________________________ □ 否 No
14. 資金來源 Source of Fund (可選多過 1 項 Can choose more than 1 option)	□ Salary 薪金 □ Commission 佣金 □ Business Profit 商業利潤 □ Given by family 家庭給予 □ Pension 退休金 □ Others (please specify)其他 (請註明):__________________
備註 Remark:	

_________________________________ _____________________________

*****客戶簽署 Client Signature** **日期 Date :**

(****只適用於以見面或信件/電郵形式進行的確認 Only applicable to face-to-face or mail/email 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.
- 客戶提供另一國家(司法管轄區)的身分證明文件，但不包括香港投資移民客戶提供非永久香港身分證 Client providing a new identification document of another country(jurisdiction), but not including CIES client providing a non-permanent HKID

☐ (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:__________________________

與客戶聯絡方法 Customer Contact Method:

電話*Phone* ☐ 會面 In Person ☐ 信件/電郵 Mail/ Email ☐

分機號碼* Extension* : _______________ 聯絡日期及時間 Contact Date & Time:___________________________

**如使用電話與客戶聯絡，必須使用錄音電話系統 * Taped phone must be used if client is contacted by telephone.*

如果是已註冊的電郵地址發出，可以不需要簽署 Client signature is not required for registered email address confirmation.)

銷售員工及部門 Name and Dept: ______________________________

銷售員工簽署 Sales Staff Signature _______________________________________ **日期 Date :** ____________________

負責人員審批 Responsible officer approval (如適用 If applicable)

負責人員簽署 Responsible officer Signature: ___________________

For internal use only			
S.V.	Review and input	Review and check	Remark

\# 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。#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).*