

公司客戶資料更新表格

**Corporate Customer Information Update Form**

賬戶號碼

Account Number : \_\_\_\_\_

賬戶名稱

Account Name : \_\_\_\_\_

|  |   |  |   |   |                                    |                                       |   |  |  |  |  |   |   |   |                                       |                                    |   |  |   |  |
|--|---|--|---|---|------------------------------------|---------------------------------------|---|--|--|--|--|---|---|---|---------------------------------------|------------------------------------|---|--|---|--|
| <p><b>I. 業務資料 Business Information</b>      資料欄有(*)號者，必須填寫。如無(*)號者，可選擇性填寫。<br/>Information fields with (*) must be completed. Otherwise, it is optional to complete.</p>   |   |  | <p>經紀專用<br/>For the<br/>Broker's<br/>Use Only</p> |   |                                    |                                       |   |  |  |  |  |   |   |   |                                       |                                    |   |  |   |  |
| <p>*業務／行業性質 Nature of Business / Industry</p> <table border="0"> <tr> <td><input type="checkbox"/> 酒吧 Bar</td> <td><input type="checkbox"/> 賭場 Casino</td> <td><input type="checkbox"/> 賭博業 Gambling</td> </tr> <tr> <td><input type="checkbox"/> 貨幣兌換 Money Changer</td> <td><input type="checkbox"/> 匯款代理 Remittance Agent</td> <td><input type="checkbox"/> 金融／保險 Finance / Insurance</td> </tr> <tr> <td><input type="checkbox"/> 通訊 Communications</td> <td><input type="checkbox"/> 建築 Construction</td> <td><input type="checkbox"/> 地產 Real Estate</td> </tr> <tr> <td><input type="checkbox"/> 旅遊／酒店 Travel / Hotel</td> <td><input type="checkbox"/> 飲食 Restaurants</td> <td><input type="checkbox"/> 運輸 Transport</td> </tr> <tr> <td><input type="checkbox"/> 零售 Retail</td> <td><input type="checkbox"/> 出入口／批發 Import / Export / Wholesale</td> <td><input type="checkbox"/> 製造業 Manufacturing</td> </tr> <tr> <td colspan="3"><input type="checkbox"/> 其他 Others (請註明 Please specify) _____</td> </tr> </table> |   |  |   | <input type="checkbox"/> 酒吧 Bar                         | <input type="checkbox"/> 賭場 Casino | <input type="checkbox"/> 賭博業 Gambling | <input type="checkbox"/> 貨幣兌換 Money Changer | <input type="checkbox"/> 匯款代理 Remittance Agent | <input type="checkbox"/> 金融／保險 Finance / Insurance | <input type="checkbox"/> 通訊 Communications | <input type="checkbox"/> 建築 Construction | <input type="checkbox"/> 地產 Real Estate | <input type="checkbox"/> 旅遊／酒店 Travel / Hotel | <input type="checkbox"/> 飲食 Restaurants | <input type="checkbox"/> 運輸 Transport | <input type="checkbox"/> 零售 Retail | <input type="checkbox"/> 出入口／批發 Import / Export / Wholesale | <input type="checkbox"/> 製造業 Manufacturing | <input type="checkbox"/> 其他 Others (請註明 Please specify) _____ |  |
| <input type="checkbox"/> 酒吧 Bar  | <input type="checkbox"/> 賭場 Casino                          | <input type="checkbox"/> 賭博業 Gambling  |   |   |                                    |                                       |   |  |  |  |  |   |   |   |                                       |                                    |   |  |   |  |
| <input type="checkbox"/> 貨幣兌換 Money Changer  | <input type="checkbox"/> 匯款代理 Remittance Agent              | <input type="checkbox"/> 金融／保險 Finance / Insurance   |   |   |                                    |                                       |   |  |  |  |  |   |   |   |                                       |                                    |   |  |   |  |
| <input type="checkbox"/> 通訊 Communications   | <input type="checkbox"/> 建築 Construction                    | <input type="checkbox"/> 地產 Real Estate  |   |   |                                    |                                       |   |  |  |  |  |   |   |   |                                       |                                    |   |  |   |  |
| <input type="checkbox"/> 旅遊／酒店 Travel / Hotel  | <input type="checkbox"/> 飲食 Restaurants                     | <input type="checkbox"/> 運輸 Transport  |   |   |                                    |                                       |   |  |  |  |  |   |   |   |                                       |                                    |   |  |   |  |
| <input type="checkbox"/> 零售 Retail   | <input type="checkbox"/> 出入口／批發 Import / Export / Wholesale | <input type="checkbox"/> 製造業 Manufacturing   |   |   |                                    |                                       |   |  |  |  |  |   |   |   |                                       |                                    |   |  |   |  |
| <input type="checkbox"/> 其他 Others (請註明 Please specify) _____  |   |  |   |   |                                    |                                       |   |  |  |  |  |   |   |   |                                       |                                    |   |  |   |  |
| <p>*註冊地點 Place of Incorporation</p>  |   | <p>*註冊日期 Date of Incorporation</p>   | <p>美國註冊地<br/>□ 是<br/>□ 否</p>                      |   |                                    |                                       |   |  |  |  |  |   |   |   |                                       |                                    |   |  |   |  |
| <p>實收股本 Paid Up Capital</p>  |   | <p>法定資本 Authorized Capital</p>   |   | <p>香港上市公司編號 HK Listed Stock No. (如適用 If applicable)</p> |                                    |                                       |   |  |  |  |  |   |   |   |                                       |                                    |   |  |   |  |
| <p>*主要業務所在地 Place of Principal Business</p> <p><input type="checkbox"/> 本地 Local</p> <p><input type="checkbox"/> 海外 Overseas (請註明 Please specify: _____)</p>   |   | <p>*交易對手及業務夥伴的所在地 Location of Business Counterparties</p> <p><input type="checkbox"/> 本地 Local</p> <p><input type="checkbox"/> 海外 Overseas (請註明 Please specify: _____)</p> |   |   |                                    |                                       |   |  |  |  |  |   |   |   |                                       |                                    |   |  |   |  |
| <p>*電話號碼 Telephone Number <sup>a</sup></p> <p>1. _____</p> <p>2. _____</p>   | <p>傳真號碼 Fax Number</p> <p>1. _____</p> <p>2. _____</p>      | <p>電郵地址 E-mail Address <sup>b</sup></p> <p>1. _____</p> <p>2. _____</p>  |   |   |                                    |                                       |   |  |  |  |  |   |   |   |                                       |                                    |   |  |   |  |
| <p>*註冊辦事處地址 Registered Office Address</p> <p>室號 Room / Flat _____ 樓 Floor _____ 座 Block _____ 大廈名稱 Name of Building _____</p> <p>街號 Street No. _____ 街名 Street Name _____</p> <p>地區 District _____ <input type="checkbox"/> 香港 HK    <input type="checkbox"/> 九龍 KLN    <input type="checkbox"/> 新界 NT</p> <p>國家及郵區編碼 Country and Postal Code _____</p> <p>(只適用於香港以外地址 For address outside Hong Kong only)</p>   |   |  |   |   |                                    |                                       |   |  |  |  |  |   |   |   |                                       |                                    |   |  |   |  |
| <p>*業務地址 Business Address</p> <p><input type="checkbox"/> 與註冊辦事處地址相同 Same as the Registered Office Address      <input type="checkbox"/> 其他 Others (請註明 Please specify)</p> <p>室號 Room / Flat _____ 樓 Floor _____ 座 Block _____ 大廈名稱 Name of Building _____</p> <p>街號 Street No. _____ 街名 Street Name _____</p> <p>地區 District _____ <input type="checkbox"/> 香港 HK    <input type="checkbox"/> 九龍 KLN    <input type="checkbox"/> 新界 NT</p> <p>國家及郵區編碼 Country and Postal Code _____</p> <p>(只適用於香港以外地址 For address outside Hong Kong only)</p>   |   |  |   |   |                                    |                                       |   |  |  |  |  |   |   |   |                                       |                                    |   |  |   |  |

**\*通訊地址 Correspondence Address**

- 與上述註冊辦事處地址相同 Same as the Registered Office Address above
- 與上述業務地址相同 Same as the Business Address above
- 其他 Others (請註明 Please specify)

室號 Room / Flat \_\_\_\_\_ 樓 Floor \_\_\_\_\_ 座 Block \_\_\_\_\_ 大廈名稱 Name of Building \_\_\_\_\_

街號 Street No. \_\_\_\_\_ 街名 Street Name \_\_\_\_\_

地區 District \_\_\_\_\_  香港 HK  九龍 KLN  新界 NT

國家及郵區編碼 Country and Postal Code \_\_\_\_\_

(只適用於香港以外地址 For address outside Hong Kong only)

**\*聯絡人資料 Details of Contact Person(s)**

|         |                                 |                       |                                  |
|---------|---------------------------------|-----------------------|----------------------------------|
| 姓名 Name | 電話號碼 Telephone No. <sup>a</sup> | 職銜(如有) Title (if any) | 電郵地址(如有) E-mail Address (if any) |
| 姓名 Name | 電話號碼 Telephone No. <sup>a</sup> | 職銜(如有) Title (if any) | 電郵地址(如有) E-mail Address (if any) |
| 姓名 Name | 電話號碼 Telephone No. <sup>a</sup> | 職銜(如有) Title (if any) | 電郵地址(如有) E-mail Address (if any) |

**備註 Note:**

a 如屬海外號碼，請提供國家及地區編號。

For overseas number, please provide country and area code.

b 本部分所提供之第(1)之新電郵地址會取代之前已登記的電郵地址，以會/可作為接收所有本公司向閣下提供的提示或通知服務(包括電子結單備妥通知、電子提示等服務)之用。New email address of Client (1) shall override any email address registered before and will/can be used as designated email address for receiving all alert and notification services (including notification of e-statement ready, e-alerts etc.) of our Company.

|  |  |   |   |
|--|--|---|---|
| <b>II. 財務及投資資料</b>   | 資料欄有(*)號者，必須填寫。如無(*)號者，可選擇性填寫。   |   |   |
| <b>Financial &amp; Investment Information</b>  | <b>Information fields with (*) must be completed. Otherwise, it is optional to complete.</b> |   |   |
| <b>*全年營業額 Annual Business Turnover (港幣 HKD)</b>  |  |   |   |
| <input type="checkbox"/> 沒有 No Annual Turnover   | <input type="checkbox"/> Below \$499,999 以下  | <input type="checkbox"/> \$500,000 - \$999,999                        |   |
| <input type="checkbox"/> \$1,000,000 - \$2,999,999   | <input type="checkbox"/> \$3,000,000 - \$4,999,999   | <input type="checkbox"/> \$5,000,000 - \$9,999,999                    |   |
| <input type="checkbox"/> \$10,000,000 - \$99,999,999   | <input type="checkbox"/> \$100,000,000 或以上 or above  |   |   |
| <b>*資產 / 資金來源 Source of Wealth / Fund</b> (可選多於一項 More than one can be selected)   |  |   |   |
| <input type="checkbox"/> 營業收入 Business Income  | <input type="checkbox"/> 來自股東 Shareholders' Fund   | <input type="checkbox"/> 投資回報 Return on Investment                    |   |
| <input type="checkbox"/> 其他 Others (請註明 Please specify) _____  |  |   |   |
| <b>*資產 / 資金來源地 Origins of Source of Wealth / Fund</b> (可選多於一項 More than one can be selected)   |  |   |   |
| <input type="checkbox"/> 香港 Hong Kong  | <input type="checkbox"/> 中國內地 Mainland China   | <input type="checkbox"/> 美國 United State                              | <input type="checkbox"/> 歐洲 Europe      |
| <input type="checkbox"/> 其他 Others (請註明 Please specify) _____  |  |   |   |
| <b>*投資目的 Investment Objective</b>  |  |   |   |
| <input type="checkbox"/> 收入 Income   | <input type="checkbox"/> 資本增值 Capital Growth   | <input type="checkbox"/> 對沖 Hedging                                   | <input type="checkbox"/> 投機 Speculation |
| <input type="checkbox"/> 其他 Others (請註明 Please specify) _____  |  |   |   |
| <b>*投資年期 Investment Horizon</b>  |  |   |   |
| <input type="checkbox"/> 長線 Long Term<br>(1 年以上 Over 1 year)   | <input type="checkbox"/> 中線 Medium Term<br>(6 個月至 1 年 6 months to 1 year)                    | <input type="checkbox"/> 短線 Short Term<br>(Less than 6 months 6 個月之內) |   |
| <b>*投資經驗 Investment Experience</b>   |  |   |   |
|  | 沒有 / 少於 1 年<br>None / Less than 1 year   | 1 - 3 年 years   | 多於 3 年 More than 3 years                |
| 股票 Shares  | <input type="checkbox"/>   | <input type="checkbox"/>  | <input type="checkbox"/>                |
| 牛熊證 CBBC   | <input type="checkbox"/>   | <input type="checkbox"/>  | <input type="checkbox"/>                |
| 認股證 Warrants   | <input type="checkbox"/>   | <input type="checkbox"/>  | <input type="checkbox"/>                |
| 期貨 Futures   | <input type="checkbox"/>   | <input type="checkbox"/>  | <input type="checkbox"/>                |
| 期權 Options   | <input type="checkbox"/>   | <input type="checkbox"/>  | <input type="checkbox"/>                |
| 其他   | <input type="checkbox"/>   | <input type="checkbox"/>  | <input type="checkbox"/>                |
| <b>*客戶對衍生產品的認識 Client's Knowledge of Derivative Products</b> (可選多於一項 More than one can be selected)  |  |   |   |
| (客戶知悉及明白經紀將根據以下的資料以評估客戶是否對衍生產品有認識。如客戶沒有作出以下任何選擇，並在適當方格內加“✓”號，客戶便不可買賣在交易所買賣之衍生產品。) (The Client acknowledges and understands the Broker will assess whether the Client has adequate knowledge on derivative products according to the following information the Client provided. If the Client does not make any of the following choices and tick“✓”the box(es) where appropriate, the Client is not allowed to trade exchange-traded derivative products.)   |  |   |   |
| 負責代表客戶作出投資決定的人士: The person(s) who is/are responsible for making investment decisions for or on behalf of the Client has/have:   |  |   |   |
| <input type="checkbox"/> 曾接受有關衍生產品的培訓或修讀相關課程。 Underwent training or attended courses on derivative products.   |  |   |   |
| <input type="checkbox"/> 現時或過去擁有與衍生產品有關的工作經驗。 Has current or previous work experience related to derivative products.  |  |   |   |
| <input type="checkbox"/> 於過去 3 年曾執行 5 次或以上有關衍生產品的交易。 Executed five or more transactions within the past three years in derivative products.  |  |   |   |
| <input type="checkbox"/> 本公司確認已閱讀及完全明白，由經紀提供，以本公司所選擇之語言並包含於經紀的證券買賣條款內的風險披露聲明中有關衍生產品的特性及風險的解釋。本公司願意承擔交易相關衍生產品所帶來的潛在風險。 The Company confirms that the Company has read and fully understood the explanation on the nature and risk of derivative products in the Risk Disclosure Statement contained in the aforesaid Terms and Conditions for Securities Trading, provided by the Broker in the language of the Company's choice. The Company is willing to accept the risks associated with trading derivative products. |  |   |   |

\*客戶風險承受程度 Your Risk Tolerance

低風險 Low<sup>+</sup>

中等風險 Medium<sup>+</sup>

高風險 High<sup>+</sup>

\*補回差額的能力 Capacity to Top-up

本人確認擁有足夠能力作定期注資並滿足提供額外抵押品的要求 (如適用)。

I confirm I have the capacity to make regular contributions and meet extra collateral requirements, where appropriate.

是 Yes

否 No

更新公司有關人士資料 Update of Particulars of Corporate's Connected Party(ies)

董事總經理 Managing Director

董事 Director

股東 / 實益擁有人 Shareholder / Beneficial Owner

被授權人 Authorized Person

(本公司會稍後寄上有關表格供填妥並寄回 Corresponding forms will be sent out for completing and returning to us)

其他 Others

備註 Note:

\*“低風險”指低風險投資具低波動性，適合願意接受較低回報而換取更大資金安全性的投資者。

“Low” is defined as low risk investments demonstrate low volatility and are for investors who are willing to accept lower returns for greater safety of capital.

“中等風險”指中度風險投資具中度波動性，適合希望在較長的期間內獲得中度增長的投資者。

“Moderate” is defined as moderate risk investments demonstrate medium volatility and are for investors looking for moderate growth over longer period of time.

“高風險”指高風險投資具高波動性，適合注重增長並願意接受投資組合價值在短期內大幅波動的投資者，以換取潛在較高的長期回報。

“High” is defined as high risk investments demonstrate high volatility and are for investors that are growth oriented and are willing to accept significant short-term fluctuations in portfolio value in exchange for potentially higher long-term returns.

簽署 Signature :

及公司圖章 (如適用) with Company Chop (if applicable)

(必須與本公司記錄之簽署式樣相同 Must be the same as the signature in the Company's record)

日期 Date :

| 公司專用 For Office Use Only |             |            |     |     |         |       |          |         |
|--------------------------|-------------|------------|-----|-----|---------|-------|----------|---------|
| CHB / CHS<br>BRANCH      | Branch Code | Handled by | S.V | CHS | Checked | Input | Approved | Remarks |
|                          |             |            |     |     |         |       |          |         |