

(A corporation licensed by the Securities and Futures Commission of Hong Kong to carry on Type 1 (dealing in securities) and Type 9 (asset management) regulated activities under the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong)  
 (一家根據《證券及期貨條例》(香港法律第571章)獲發牌進行第一類(證券交易)及第九類(提供資產管理)受規管活動的業務之持牌法團)

**Central Entity (CE) Number 中央編號:** AAA347

**Business Address 營業地址:** Rooms 1708-1710, 17/F, China Insurance Group Building, 141 Des Voeux Road Central, Hong Kong  
 香港中環德輔道中141號中保集團大廈17樓1708-1710室

**CLIENT INVESTMENT AND FINANCIAL INFORMATION UPDATE FORM-INDIVIDUAL/JOINT**
**客戶投資及財務資料更新表-個人/聯名**

<b>Client Information 客戶資料</b>	
Account Name 賬戶姓名	Account No. 賬戶號碼

<b>Investment and Financial Information 投資及財務資料</b>	
<p>● Annual Income (Please tick one box) 每年總收入 (請勾選一項)</p> <p><input type="checkbox"/> Under 少於 US \$20,000</p> <p><input type="checkbox"/> US \$20,000 ~ US \$49,999</p> <p><input type="checkbox"/> US \$50,000 ~ US \$99,999</p> <p><input type="checkbox"/> US \$100,000 or above 或以上</p>	<p>● Residence (Please tick one box) 住屋 (請勾選一項)</p> <p><input type="checkbox"/> Self-owned (subject to mortgage) 自置物業 (有按揭)</p> <p><input type="checkbox"/> Self-owned (no mortgage) 自置物業 (無按揭)</p> <p><input type="checkbox"/> Rent 租用物業</p>
<p>● Source of income (can choose one or more) 收入來源 (可勾選多項)</p> <p><input type="checkbox"/> Salary / Commission 薪金 / 佣金</p> <p><input type="checkbox"/> Savings 儲蓄</p> <p><input type="checkbox"/> Dividend / Interest 股息/利息</p> <p><input type="checkbox"/> Business Profit 業務溢利</p> <p><input type="checkbox"/> Investment Return 投資獲利</p> <p><input type="checkbox"/> Rent 租金</p>	<p>● Origins of Fund (Please tick at least one box) 資金來源地 (請勾選至少一項)</p> <p><input type="checkbox"/> Hong Kong 香港</p> <p><input type="checkbox"/> Taiwan 台灣</p> <p><input type="checkbox"/> China 中國</p> <p><input type="checkbox"/> Singapore 新加坡</p> <p><input type="checkbox"/> USA 美國</p> <p><input type="checkbox"/> Others 其他: _____</p>
<p>● Liquid Assets (Please tick one box) 流動資產 (US\$) (請勾選一項)</p> <p><input type="checkbox"/> &lt;10,000</p> <p><input type="checkbox"/> 10,001 – 100,000</p> <p><input type="checkbox"/> 100,001 – 500,000</p> <p><input type="checkbox"/> 500,001 – 1,000,000</p> <p><input type="checkbox"/> &gt;1,000,001</p>	<p>● Total net worth 資產淨值: _____</p> <p>US \$ _____</p>


<b>Please choose the years of investment experience of each investment product 請勾選每一投資產品的投資年期 (Please provide relevant documentary proof 請提供有關證明文件)</b>					
Type of Investment Product 投資產品類型	Years of Investment Experience 投資年期				
	Nil 無	< 3 years 三年以下	3 to 5 years 三至五年	5 to 10 years 五至十年	> 10 years 十年以上
Equities 證券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Warrants 窩輪* / Stock Options 股票期權* / CBBC 牛熊證*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Futures & Options 期貨及期權*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Exchanged Traded Fund (ETF) 交易所買賣基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Hedge Funds 對沖基金*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Structured Products 結構性產品*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fixed Income Products (e.g. bonds, etc.) 固定收益產品 (如: 債券等)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Others 其他:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

\*The above type of investment product belongs to high risk and/or extremely high risk categories. 上述投資產品類型屬於「高風險」及/或「極高風險」類別。

Assessment of Client's Knowledge of Derivative Products+ 客戶對衍生性產品的認識之評估 (Please provide relevant documentary proof 請提供有關證明文件)	
The following questionnaire is designed to ensure the provision of our services to you in respect of derivative products is in compliance with our obligations under paragraph 5.1A of the Code of Conduct. 以下問卷為確保本公司向你提供有關衍生性產品之服務已遵照《操守準則》項下第 5.1A 段的責任。	
1	<p>Have you undergone any training or attended courses (whether online or classroom courses) on derivative products offered by any academic institution or financial institution? 請問你是否曾接受由任何學術或金融機構舉辦有關衍生性產品的任何培訓或修讀相關課程(不論是網上或教室課程)?</p> <p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (please insert details below 請提供下列資料)</p> <p>Name of the academic institution or financial institution: _____ Name of the course: _____ 學術或金融機構的名稱: _____ 課程的名稱: _____</p>
2.	<p>Do you have any current/previous working experiences related to derivative products? 請問你現在/過去的工作經驗是否與衍生性產品有關?</p> <p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (please insert details below 請提供下列資料)</p> <p>Name of employer 僱主名稱: _____ Position 職稱: _____</p> <p>Year(s) of working experiences which relate(s) to derivative products 就衍生性產品有關工作經驗之年期: _____ year(s)年</p>
3.	We will refer to Part E to assess your prior trading experience in derivative products. 本公司將參照戊部，以評估你投資衍生性產品的經驗。

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Investor Characterization 投資者分類	
Characterization 投資者分類	Investor Characterization Result 分類結果
<input type="checkbox"/>	You are characterized as a client <b>without</b> knowledge of derivatives. 你被評估為對衍生性產品 <b>沒有</b> 認識。
<input type="checkbox"/>	You are characterized as a client <b>with</b> knowledge of derivatives. 你被評估為對衍生性產品 <b>有</b> 認識。

<p>Is the client a Politically Exposed Person*("PEP") or his/her family member or close associate? 客戶是否為政治人物*或其家庭成員或關係密切的人?</p> <p><input type="checkbox"/> YES, Name of the PEP 是，政治人物姓名 _____ <input type="checkbox"/> NO 否</p> <p>*PEP is an individual (i.e. Individual account holder or ultimate beneficial owner, shareholder, director, or authorized person for corporate account) who is or has been entrusted with a prominent public function, including a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official. It also includes his/her spouse, child, parent and a close associate. 政治人物是指目前或以往曾經擔任重要公職(例如：國家元首、政府首長、資深從政者、高級政府官員、高級司法或軍事官員、國有企業的高級行政人員及重要政黨幹事)的人士(即個人戶或公司戶的最終實益擁有人/股東/董事/授權人)，並包含該政治人物之配偶/子女/父母/關係密切的人。</p>
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<p><b>Client Signature 客戶簽署</b></p> <p>_____ </p> <p>Client Name 客戶姓名 _____ Date 日期 (dd/mm/yyyy 日/月/年)</p> <p>(All account holders of joint account must sign jointly. 所有聯名客戶必須簽署)</p>
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Reviewed by AE :	Approved by RO :	Updated by BO :	Checked by BO :
_____	_____	_____	_____
Date (日期) :	Date (日期) :	Date (日期) :	Date (日期) :