

CLIENT INFORMATION UPDATE FORM (CORPORATE)
客戶資料更新表格 (公司戶口)

Account Name: 戶口名稱:

Account Number: 戶口號碼:

Important Notes: 重要提示:

Part 1: We shall assume there is no change of your relevant information which you have not provided in this part. 第 1 部: 如在此部並未有提供資料, 閣下的現有有關資料會被視為並無更改。

Part 2-5: All parts must be completed unless not applicable or otherwise specified. 第 2-5 部: 除不適用或特別註明外, 必須填寫這所有部分。

1. Change of Client Profile Information 更改客戶資料 (Please tick the appropriate box 請在適當空格內加✓)

Change of Company Name 更改公司名稱

New Company Name 新公司名稱

Change of Address 更改地址

New Registered Address# 新註冊地址#

New Correspondence Address 新通訊地址

#Please provide proof of new registered address within 3 months 請提供近三個月之新註冊地址證明

Change of List of Director 董事名單變更#

Name 姓名	HKID 香港身份證 / Passport No. 護照號碼	Contact Tel. No. 聯絡電話	Residential Address 住宅地址
<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>
<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>
<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>
<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>

#Please provide identity documents of all new directors 請提供所有新董事之身份證明文件

Change of List of Shareholder 股東名單變更# (For companies with multiple layers structure in the ownership structure, please provide a group chart (including the company name and its place of incorporation) certified by a director of the Company. 至於有多層擁有權結構的公司, 請公司之董事提供經其認證有關集團公司的結構圖(包括公司名稱及其成立地))

Name 姓名	HKID 香港身份證 / Passport No. 護照號碼	Contact Tel. No. 聯絡電話	Residential Address 住宅地址
<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>
<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>
<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>
<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>	<input style="width: 95%; height: 20px;" type="text"/>

#Please provide identity documents of all new shareholders 請提供所有新股東之身份證明文件

Change of List of Individual who holds 25% or more of the ultimate beneficial interest of the client 擁有百分之二十五或以上公司最終權益持有人名單變更#

Name 姓名	HKID 香港身份證 / Passport No. 護照號碼	Contact Tel. No. 聯絡電話	Residential Address 住宅地址
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

#Please provide identity documents of all new individuals who holds 25% or more of the ultimate beneficial interest of the client
請提供所有新擁有百分之二十五或以上公司最終權益持有人之身份證明文件

Change of List of Person authorized to give dealing instructions 獲授權發出指令/買賣指示之人士名單變更#

Name 姓名	Title 職銜 / Relationship with Client 與客戶之關係	HKID 香港身份證 / Passport No. 護照號碼	Contact Tel. No. 聯絡電話	Residential Address 住宅地址
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

#Please provide identity documents of all new persons authorized to give dealing instructions and relevant duly certified board resolution 請提供所有新獲授權發出買賣指示之人士之身份證明文件及董事會決議正式核證副本

Change of Mode of receiving of Daily and Monthly Statement 更改日結單及月結單收取方式

New Mode of receiving of Daily and Monthly Statement: 新日結單及月結單收取方式:	Please tick one box 請選以下其中一項 <input type="checkbox"/> By Post 郵寄 <input type="checkbox"/> By E-mail 電郵: _____
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Change of Telephone Number 更改電話

Tel.: 電話:	_____
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2. Latest Financial Position 最新財務資料 (Required fields 為必須填寫項目)

Paid-Up Share Capital: 繳足股份股本:	_____	Profit after taxation for the latest financial year: 最近財政年度之除稅後營利:	_____
Total Asset: 總資產:	_____	Total Liabilities: 總負債:	_____
Source of Income: 收入來源:	<input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Dividend/Interest 股息/利息 <input type="checkbox"/> Business Profits 商業利潤 <input type="checkbox"/> Others 其他 (please specify 請註明): _____		
Asset Items: 資產項目:	<input type="checkbox"/> Landed Property 地產 <input type="checkbox"/> Cash/Deposit 現金/存款 <input type="checkbox"/> Listed Securities 上市證券 <input type="checkbox"/> Dividend/Interest 股息/利息 <input type="checkbox"/> Vehicles 汽車 <input type="checkbox"/> Others 其他 (please specify 請註明): _____		
Total Net Value (HK\$): 總淨值 (港元):	<input type="checkbox"/> ≤ HK\$500,000 <input type="checkbox"/> HK\$500,001-HK\$999,999 <input type="checkbox"/> HK\$1,000,000-HK\$4,999,999 <input type="checkbox"/> HK\$5,000,000-HK\$7,999,999 <input type="checkbox"/> HK\$8,000,000-HK\$29,999,999 <input type="checkbox"/> HK\$30,000,000-HK\$49,999,999 <input type="checkbox"/> > HK\$50,000,000 <input type="checkbox"/> Other: HK\$ _____		

3. Investment Objective and Experience 投資目標及經驗 (Required fields 為必須填寫項目)

Investment Objective : 投資目標:	<input type="checkbox"/> Trading for Profits 為利潤而買賣 <input type="checkbox"/> Long Term Capital Appreciation 長遠資本增值 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Dividend/Interest Income 股息/利息收入 <input type="checkbox"/> Others 其他 (please specify 請註明): _____
Investment Horizon: 投資目標:	<input type="checkbox"/> Long Term 長線 <input type="checkbox"/> Medium Term 中線 <input type="checkbox"/> Short Term 短線
Investment Experience (Years): 投資經驗(年資):	<input type="checkbox"/> Nil 沒有 <input type="checkbox"/> Less Than 少於 2 Years 年 <input type="checkbox"/> 2-5 Years 年 <input type="checkbox"/> 6-10 Years 年 <input type="checkbox"/> Over 超過 10 Years 年
Investment Experience (Stock Market): 投資經驗(股票市場):	<input type="checkbox"/> Nil 沒有 <input type="checkbox"/> Hong Kong (Including H Shares) 香港股市(包括 H 股) <input type="checkbox"/> China 中國 <input type="checkbox"/> Developed Markets 已發展市場 <input type="checkbox"/> Other Emerging Markets 其他新興市場

Investment Experience 投資經驗 (please tick the appropriate box(es) 請在適當空格內加✓號) :

Products 產品	Frequency of Trade(s) per year 每年交易次數			Estimated Aggregate Product Investment (Past & Present) (HK\$) 估計過往及現在總產品投資值 (港幣)			
	Uninvolved 沒有參與過	≤ 40 times 次	> 40 times 次	Uninvolved 沒有參與過	< HK\$8,000,000	HK\$8,000,000- HK\$49,999,999	≥ HK\$50,000,000 or Others HK\$
Securities 證券							
Futures/Options 期貨 / 期權							
Foreign Exchange 外匯							
Bullion 貴金屬							
Derivative Products* 衍生產品*							
Others 其他 (please specify 請註明): _____							

* Some examples of derivative products are derivative warrant, callable bull/bear contract, exchange traded fund, equity linked instrument/equity linked note, leveraged and inverse product etc. 衍生產品的例子包括但不限於衍生認股權證、牛熊證、交易所買賣基金、股票掛鈎票據、槓桿及反向產品等。

If you wish to purchase derivative products, please answer the following questions.

若閣下有意認購衍生產品，請回答以下問題。

- Are you, your directors, authorized persons or investment decision makers in general aware of the main risks relating to investing in derivative products? 貴公司、貴公司其董事、被授權人士或投資決策者了解一般衍生產品的主要風險嗎?
 Yes 了解 (Please specify 請註明: _____) No 不了解
- Do your directors, authorized persons or investment decisions makers in general understand the main features of derivative products? 貴公司其董事、被授權人士或投資決策者明白一般衍生產品的主要特徵嗎?
 Yes 明白 (Please specify 請註明: _____) No 不明白
- Have your directors or authorized persons through any academic or professional means including training, learnt about derivative products? 貴公司其董事或被授權人士有沒有從專業或學術途徑上(包括培訓)認識或接觸過衍生產品?
 Yes 有 (Please specify 請註明: _____) No 沒有
- Did your directors or authorized persons execute five or more transactions in any derivative products within the past 3 years? 貴公司其董事或被授權人士有沒有於過去3年內曾進行5次或以上的衍生工具買賣交易?
 Yes 有 (Please provide supporting document, e.g. Statement 請提供文件證明, 如結單) No 沒有
- Do your directors or authorized persons have more than 1 year current or previous working experience related to derivative products? 貴公司其董事或被授權人士現時或過去擁有1年以上有關衍生產品的工作經驗?
 Yes 有 (Please specify 請註明: _____) No 沒有

Account Holder's risk preference: Conservative保守型 Balanced均衡型 Growth增長型
 戶口持有人的風險取向

Other Relevant Investment Experience 其他投資經驗 (if any如有) : _____

Internal assessment (to be completed by Account Executive) 內部評估 (由客戶經理填寫)

Having considered all the information, do you agree with the risk preference claimed by the Account Holder above?

考慮所有資料之後，你同意戶口持有人以上申報的風險取向嗎？

- Agree 同意
- Do not agree, the Account Holder's risk tolerance level should be higher / lower than the risk preference level claimed and should be _____. I have explained to the Account Holder the reasons why I view differently and that we will respect her preference and serve her according to her preferred risk level. 不同意，戶口持有人的風險承受程度應比他所述的風險取向為高 / 低應為 _____. 我已向戶口持有人解釋我意見不同的原因和我們會尊重他們的意願及依照他們意願的風險程度對待他。

Having considered all the information, does the Account Holder have knowledge of derivative products?

考慮所有資料之後，戶口持有人有沒有衍生工具知識？

- Yes, the Account Holder has knowledge of derivatives. 有，戶口持有人有衍生工具知識。
- No, the Account Holder does not have knowledge of derivatives. 沒有，戶口持有人沒有衍生工具知識。

4. Other Disclosure 其他披露 (Required fields 為必須填寫項目)

- (1) Are you related to any employee or director or any other clients of KESHK and/or KEFHK or their subsidiaries, holding company or subsidiaries of the same holding company? (if yes, please state the name and your relationship with our director(s) and/or our other clients)

貴公司是否與金英証券及/或金英期貨或其附屬公司、控股公司或該控股公司之附屬公司之僱員或董事或其他客戶有關係? (如是，請註明有關僱員 / 董事或客戶之姓名及與其之關係)

No 否 Yes 是 (Name 姓名: _____ Account No. 戶口號碼: _____ Relationship 關係: _____)

- (2) Do you control 35% or above of the voting rights of another client of KESHK and/or KEFHK or their subsidiaries, holding company or subsidiaries of the same holding company? (if yes, please specify as below)

貴公司有否持控金英証券及/或金英期貨或其附屬公司、控股公司或該控股公司之附屬公司之另一客戶 35%或以上之表決權? (如是，請於下列註明)

No 否 Yes 是 (Name 姓名: _____ Account No. 戶口號碼: _____)

- (3) Are you, yours directors or senior officials a current or former senior official for any level of government, public or statutory body, or political party, or a senior executive of any state-owned enterprise for any city, region or country?

貴公司或其董事、高級管理人員是否(於現在或過往)為任何城市、區域或國家內任何層次的政府、公營或法定機構或政黨的高層人員或任何國有企業的高級行政人員?

No 否 Yes 是 , please specify 請列明: _____

5. Declaration and Signature 聲明及簽署

We hereby declare that the information given in this form is true and correct and that we have not willfully withheld any material fact(s). We understand that we may be required to provide additional information or submit documentary proof as to the information provided in this form when requested to do so.

本公司謹此聲明表格上提供之所有資料均為真實及正確，本公司並未刻意隱瞞任何重要事實。除上述提供的資料外，本公司清楚貴司會要求本公司提供更多相關的資料或證明文件。

Authorised Signature 授權簽署 (with Company chop 須加蓋公司圖章)

Date 日期: _____

For Office Use Only 只供本行使用

Received Parties	AE	Team Head & Responsible Officer	Doc. Check (CS)	Data Input	Data Input Verified
Name					
Sign					
Date					