

**CLIENT INFORMATION UPDATE FORM (INDIVIDUAL / JOINT ACCOUNT)**

**客戶資料更新表格(個人/聯名戶口)**

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 更改客戶個人資料 (Please tick the appropriate box 請在適當空格內加✓)**

**Change of Address 更改地址**

New Residential Address# 新住宅地址#	<input type="text"/>
New Correspondence Address 新通訊地址	<input type="text"/>

#Please provide proof of new residential address within 3 months 請提供近三個月之新住宅地址證明

**Change of Telephone Number 更改電話**

Tel.: (Home) 電話: (住宅)	<input type="text"/>	(Mobile) (手提)	<input type="text"/>	(Office) (辦公室)	<input type="text"/>
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**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: <input type="text"/>
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**Change of Identity Card / Passport 更改身份證或護照#**

New ID/Passport Number and its Country of Issue: 新身份證/護照號碼及其簽發國家:	Number 號碼	Country of Issue 簽發國家
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#請提供經簽名驗證的身份證或護照複印本 Please provide the certified true copy of identity card / passport

**2. Employment Information & Financial Position 職業詳情及財政狀況 (Required fields 為必須填寫項目)**

Name of Employer:  if self-employed, please state 如自僱, 謹請註明      Occupation:  職業:      Length of Service:  服務年期:

Business/Office Address:  Postal Code 郵編

Source of Income:  Nil 沒有     Salary 薪金     Commission 佣金     Rent 租金     Dividend/Interest 股息/利息  
 收入來源:  Business Profits 商業利潤     Others 其他 (please specify 請註明):

Gross Annual Income (HK\$):  ≤ HK\$200,000     HK\$200,001-HK\$499,999     HK\$500,000-HK\$999,999  
 每年總收入(港元):  HK\$1,000,000-HK\$1,999,999     HK\$2,000,000-HK\$4,999,999     ≥ HK\$5,000,000

Asset Items:  Landed Property 地產     Cash/Deposit 現金/存款     Listed Securities 上市證券     Dividend/Interest 股息/利息  
 資產項目:  Vehicles 汽車     Others 其他 (please specify 請註明):

Total Net Value (HK\$):  ≤ HK\$500,000     HK\$500,001-HK\$999,999     HK\$1,000,000-HK\$4,999,999     HK\$5,000,000-HK\$7,999,999  
 總淨值(港元):  HK\$8,000,000-HK\$29,999,999     HK\$30,000,000-HK\$49,999,999     ≥ HK\$50,000,000     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:  Trading for Profits 為利潤而買賣     Long Term Capital Appreciation 長遠資本增值     Hedging 對沖  
 投資目標:  Dividend/Interest Income 股息/利息收入     Others 其他 (please specify 請註明):

Investment Horizon:

投資目標:

Long Term 長線

Medium Term 中線

Short Term 短線

Investment Experience (Years):

投資經驗(年資):

Nil 沒有

Less Than 少於 2 Years 年

2-5 Years 年

6-10 Years 年

Over 超過 10 Years 年

Investment Experience (Stock Market):

投資經驗( 股票市場):

Nil 沒有

Hong Kong (Including H Shares) 香港股市(包括 H 股)

China 中國

Developed Markets 已發展市場

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。

Do you wish to purchase derivative products?

Yes 是

No 否

閣下是否有意認購衍生產品?

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

閣下有意認購衍生產品，請回答以下問題。

- Are you aware of the main risks relating to investing in derivative products? 閣下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 you in general understand the main features of derivative products? 閣下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 you through any academic or professional means including training, learnt about derivative products? 閣下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 you execute five or more transactions in any derivative products within the past 3 years? 閣下有沒有於過去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 you have more than 1 year current or previous working experience related to derivative products? 閣下現時或過去擁有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，閣下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 (i) a director or employee or accredited person of an exchange participant of the Stock Exchange of Hong Kong Limited (“Stock Exchange”) or (ii) a licensed or registered person, or (iii) an employee of a licensed or registered person of the Securities and Futures Commission (“SFC”)? (if yes, please state the name of exchange participant of the Stock Exchange or licensed or registered person of the SFC below. Please provide the written consent of your employer to your opening of account(s) with KESHK and/or KEFHK and you agree that KESHK and/or KEFHK may provide your employer with duplicate of your trade confirmations and/or statements of account upon its request)

閣下是否 (i) 香港聯合交易所有限公司(「聯交所」)之交易所參與者之董事或僱員或隸屬人士或 (ii) 證券及期貨事務監察委員會(「證監會」)之持牌人士或註冊人士或 (iii) 證監會之持牌人士或註冊人士的僱員? (如是, 請於下列註明聯交所交易所參與者或證監會持牌人士或註冊人士之姓名。請提供閣下僱主就閣下於金英證券及/或金英期貨開立戶口之同意書, 而閣下同意金英證券及/或金英期貨可應閣下僱主之要求向其提供閣下之交易確認書及/或戶口結單之複本)

No 否  Yes 是 (Please specify 請註明: Name 姓名 \_\_\_\_\_ CE Number 中央編號 \_\_\_\_\_)

- (2) Are you related to any employee or director or any other clients of KESHK 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)

閣下是否與金英證券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: \_\_\_\_\_)

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

閣下及/或閣下之配偶有否持控金英證券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: \_\_\_\_\_)

- (4) Are you and/or your spouse 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?

閣下及/或閣下之配偶是否(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**

I/We hereby declare that the information given in this form is true and correct and that I/We have not willfully withheld any material fact(s). I/We understand that I/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.

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

\_\_\_\_\_  
Signature 簽署

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					