

**Client Amendment Form (For Individual / Joint Account)**  
**客戶資料更改表格 (個人/聯名戶口適用)**

Please complete this form legibly in **BLOCK LETTERS**. 請以正楷清楚填寫此表格。

|  |                |
|--|----------------|
| Account Name 客戶姓名: _____                         | Date 日期: _____ |
| Account No. 帳戶號碼: _____                          |                |
| <input type="checkbox"/> Securities Account 證券帳戶 |                |

**(Only Complete Those Details Intended To Be Changed 只需填寫需要更改的部份)**

**A. Change of Account Information 更改戶口資料**

**\*Change of Identity Document Type 更改身份證明文件種類\***

1. HK ID 香港身份證  2. PRC ID 中國身份證  3. Other National Identification Doc. 其他國民身份證明文件  4. Passport 護照

|   |                           |                      |
|---|---------------------------|----------------------|
| ID Card No. / Passport No. 身份證明文件號碼 _____ | Place of Issue 發出國家 _____ | Nationality 國籍 _____ |
|---|---------------------------|----------------------|

**\*Please visit our head office in person 請親臨本總行辦理**

**Change Address 更改地址**

|  |  |
|--|--|
| <input type="checkbox"/> Residential Address 客戶住址 ** |  |
| <input type="checkbox"/> Correspondence Address 通訊地址 |  |

**\*\*Required document: Valid Address Proof 需要有效地址證明文件**

Telephone No. 電話號碼: \_\_\_\_\_ Fax No. 傳真號碼: \_\_\_\_\_

Add E-mail Address 新增電郵地址

Change E-mail Address 更改電郵地址 (E-mail: \_\_\_\_\_)

**Bank Account Information 銀行戶口資料**

|  | Name of Bank 銀行名稱 | Account No. 帳戶號碼 | Currency 貨幣 |
|--|-------------------|------------------|-------------|
| <input type="checkbox"/> Add 新增 <input type="checkbox"/> Change 更改 |                   |                  |             |
| <input type="checkbox"/> Add 新增 <input type="checkbox"/> Change 更改 |                   |                  |             |

**Please provide bank document 請提供銀行證明文件**

**B. Change of General Information 更改一般資料**

**Method of Receiving Confirmations and Statements 買賣單據及結單收取方式**

By E-mail 電郵  By Post (Postal fee will be charged) 郵寄(郵寄形式將收取費用)

**Statement Language 買賣單據及結單語言**

Traditional Chinese 繁體中文  Simplified Chinese 簡體中文  English 英文

**Application For The Internet Trading Services 申請互聯網交易服務**

Client are require Internet Trading Services? 客戶是否需要開通網上交易服務?

Yes 是  No 否

I/We hereby acknowledge that I/we undertake to use such services in accordance with the contents of the terms/conditions as prescribed by your Agreement and we acknowledge such service charges. I/We also agree to place all credit balance of captioned account in your company until you receive my/our further instruction.  
本人/吾等特此承認本人/吾等承諾按照 本公司之協議書訂定之條款使用該服務並知悉該服務之收費。本人/吾等亦同意存放本人/吾等戶口內之所有結餘於 本公司，直至本人/吾等另行通知。

**(Please choose one) (只選一項)**

Apply for "Internet Trading Services". 申請「網上交易服務」。

Apply for "Internet Trading Services" with "Streaming real-time quote service (Monthly)". 申請「網上交易服務」連同「即時串流式報價服務(月費)」。

| C. Update Employment Information 更新受僱資料 |  |                              |  |
|---|--|------------------------------|--|
| Nature of Business 工作行業:                |  | Job Position 工作職位:           |  |
| Company Name 公司名稱:                      |  |                              |  |
| Office Address 辦公室地址:                   |  |                              |  |
| Office Tel. No.: 辦公室電話:                 |  | Duration with Employer 受僱年期: |  |

| D. Update Financial Summary 更新財務狀況  |  |
|---|--|
| <b>Source of Funds 資金來源*</b><br><input type="checkbox"/> Salary/Commission 薪金/佣金 <input type="checkbox"/> Sales of Property 售出物業 <input type="checkbox"/> Savings 積蓄 <input type="checkbox"/> Individual Business 個人業務<br><input type="checkbox"/> Investment Return 投資收益 <input type="checkbox"/> Others, please specify 其他:請註明_____ |  |
| <b>Annual Salary (in HK\$) 年薪 (以港幣計):</b><br><input type="checkbox"/> 250,000 Below 以下 <input type="checkbox"/> 250,000 - 500,000 <input type="checkbox"/> 500,000 - 1,000,000 <input type="checkbox"/> 1,000,000 Over 以上   |  |
| <b>Average Size of Trades (in HK\$) 預期平均交易金額 (以港幣計)</b><br><input type="checkbox"/> \$10,000 - \$50,000 <input type="checkbox"/> \$50,000 - \$1,000,000 <input type="checkbox"/> \$1,000,000 or above 以上  |  |

|  |  |
|--|--|
| <b>Origins of Source of Funds 資金來源地*</b><br><input type="checkbox"/> HK 香港 <input type="checkbox"/> China 中國 <input type="checkbox"/> Taiwan 台灣 <input type="checkbox"/> US 美國 <input type="checkbox"/> Others, please specify 其他:請註明_____ |  |
|--|--|

| E. Update Investment Experience And Risk Tolerance 更新投資經驗及風險承受程度  |  |
|---|--|
| <b>Years of Investment Experience in 投資經驗年期:</b><br>(a) Securities 證券 <input type="checkbox"/> NIL 無 <input type="checkbox"/> 1-2 <input type="checkbox"/> 3-5 <input type="checkbox"/> 6-10 <input type="checkbox"/> >10<br>(b) Derivative Warrants 衍生權證 <input type="checkbox"/> NIL 無 <input type="checkbox"/> 1-2 <input type="checkbox"/> 3-5 <input type="checkbox"/> 6-10 <input type="checkbox"/> >10<br>(c) Callable Bull/Bear Contracts 牛熊證 <input type="checkbox"/> NIL 無 <input type="checkbox"/> 1-2 <input type="checkbox"/> 3-5 <input type="checkbox"/> 6-10 <input type="checkbox"/> >10<br>(d) Index Futures 指數期貨 <input type="checkbox"/> NIL 無 <input type="checkbox"/> 1-2 <input type="checkbox"/> 3-5 <input type="checkbox"/> 6-10 <input type="checkbox"/> >10<br>(e) Exchanged Traded Fund (ETF) 交易所買賣基金 <input type="checkbox"/> NIL 無 <input type="checkbox"/> 1-2 <input type="checkbox"/> 3-5 <input type="checkbox"/> 6-10 <input type="checkbox"/> >10<br>(f) Structured Products 結構性產品 <input type="checkbox"/> NIL 無 <input type="checkbox"/> 1-2 <input type="checkbox"/> 3-5 <input type="checkbox"/> 6-10 <input type="checkbox"/> >10<br>(g) Bonds 債券 <input type="checkbox"/> NIL 無 <input type="checkbox"/> 1-2 <input type="checkbox"/> 3-5 <input type="checkbox"/> 6-10 <input type="checkbox"/> >10 | <b>Investment Objectives 投資目的</b><br><input type="checkbox"/> Hedging 對沖<br><input type="checkbox"/> Arbitrage 套戩<br><input type="checkbox"/> Capital Gain 資本增值<br><input type="checkbox"/> Speculation 投機<br><input type="checkbox"/> Dividend Income 股息收入<br><input type="checkbox"/> Other, please specify 其他,請說明 _____ |
| <b>Expected Investment Period 預計投資時間</b><br><input type="checkbox"/> Short Term (Less than 6 Months) 短期(少於 6 個月)<br><input type="checkbox"/> Medium Term (6-12 Months) 中期(6-12 個月)<br><input type="checkbox"/> Long Term (over 1 year) 長期(1 年以上)  | <b>Client Risk Tolerance 客戶可承受風險</b><br><input type="checkbox"/> Low 低 <input type="checkbox"/> Medium 中 <input type="checkbox"/> High 高   |

| F. Update Declaration Of FATCA Information 更新海外帳戶稅收合規法案聲明   |                          |                          |
|---|--------------------------|--------------------------|
| Related to the U.S. Foreign Account Tax Compliance Act ("FATCA") 有關美國之《海外帳戶稅收合規法案》  | YES 是                    | NO 否                     |
| 1. Are you a U.S. Resident? 閣下是否美國居民?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Are you a U.S. Citizen? 閣下是否美國公民?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Do you hold a U.S. Permanent Resident Card (Green Card)? 閣下是否持有美國永久居民身份證(綠卡)?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 1. I/We hereby declare and confirm that the information provided above is true, accurate and complete and that the beneficiary of the Account with the Company shall be me.<br>本人 / 吾等聲明及確認以上所提供的資料是真實、準確以及完整及本人之戶口的受益人為本人。   |                          |                          |
| 2. I/We hereby consent for our Company or any of its affiliates (collectively "the Group") to share my information with domestic and U.S. regulators or tax authorities where necessary to establish my tax liability in the U.S.<br>本人 / 吾等同意本公司或任何其成員機構(統稱「集團」)可向本地及美國的監管機構或稅務機構提供本人資料以確立本人在美國的稅務責任。        |                          |                          |
| 3. Where required by domestic or U.S. regulators or tax authorities, I/We consent and agree that the Group may withhold from the Account such amounts as may be required according to applicable laws, regulations and directives.<br>因應本地或美國的監管機構或稅務機構需要, 本人 / 吾等准許並同意集團可按適用的法律、法規和指令在本人 / 吾等帳戶中扣留相關所須的金額款項。 |                          |                          |
| 4. If there is any change in any of the above information or my U.S. citizenship or resident status or beneficiary of the Account, I/We shall notify the Company of the changes within 30 calendar days.<br>如以上資料或美國公民、居民身份或戶口受益人有任何改動, 本人 / 吾等會於三十日內通知本公司有關改動。   |                          |                          |

**Effective Date 生效日期:** \_\_\_\_\_

**The Client hereby declares that the information given above is true and correct. 客戶謹此聲明以上所提供的資料均屬真實及正確。**

Thank you for your kind attention.  
Yours faithfully,

Client Signatures(s) 客戶簽署 \_\_\_\_\_

| Staff Use Only 職員專用    |  |
|------------------------|--|
| Signatures Verified by |  |
| Approved by            |  |