

Periodic Review (Individual) Information Form
定期复查表格(个人)

Name of the client 客户姓名: _____

Account Number 交易账号: _____

Please complete below questions carefully:
请仔细填写以下问题:

1. Please describe your occupation. If you are unemployed/retired, please describe your previous employment:
请描述阁下的工作状况。如果阁下现时非在职/退休, 请描述以前的工作状况:

Employer Name 雇主名称: _____

Occupation 行业:

- | | | |
|--|--|---|
| <input type="checkbox"/> 住宿及膳食服务活动
Accommodation and food service activities | <input type="checkbox"/> 享有治外法权的组织及团体活动
Activities of extraterritorial organizations | <input type="checkbox"/> 行政及支持服务活动
Administrative and support service Activities |
| <input type="checkbox"/> 农业、林业及渔业
Agriculture, forestry and fishing | <input type="checkbox"/> 艺术、娱乐及康乐活动
Arts, entertainment and recreation | <input type="checkbox"/> 建造
Construction |
| <input type="checkbox"/> 教育
Education | <input type="checkbox"/> 电力及燃气供应
Electricity and gas supply | <input type="checkbox"/> 金融及保险活动
Financials and insurance activities |
| <input type="checkbox"/> 人类保健及社会工作活动
Human health and social work activities | <input type="checkbox"/> 进出口贸易、批发及零售业
Import/export, wholesale and retail trades | <input type="checkbox"/> 信息及通讯
Information and communications |
| <input type="checkbox"/> 制造
Manufacturing | <input type="checkbox"/> 采矿及采石
Mining and quarrying | <input type="checkbox"/> 专业、科学及技术活动
Professional, scientific and technical activities |
| <input type="checkbox"/> 公共行政
Public administration | <input type="checkbox"/> 地产活动
Real estate activities | <input type="checkbox"/> 运输、仓库、邮政及速递服务
Transportation/storage/postal/courier services |
| <input type="checkbox"/> 待业(包括未就业, 退休)*
Unemployed (incl. not employed, retired)* | <input type="checkbox"/> 自来水供应; 污水处理、废弃物管理及污染防治活动
Water/sewerage/waste/remediation management | <input type="checkbox"/> 家庭住户内部工作活动(包括家庭主妇)*
Work activities within domestic households (incl. housewife)* |

其他服务活动(请详细描述): _____

Other service activities(Please describe) _____

Position 职位: _____

2. Please choose at least one box to describe the source of fund (the funds that are being used on hand):
请选择至少一个描述阁下的资金来源(意指正在使用的资金来源):

- | | | |
|---|---|---|
| <input type="checkbox"/> Salary/ Commission 薪金/佣金 | <input type="checkbox"/> Business Income 商业收入 | <input type="checkbox"/> Sale of Real Estate 物业出售 |
| <input type="checkbox"/> Saving 储蓄 | <input type="checkbox"/> Investment Income 投资获利 | |
| <input type="checkbox"/> Other (Please describe) 其他(请详细描述): _____ | | |

3. Please choose at least one box to describe your source of wealth (it means the origin of your entire wealth):
请选择至少一个描述阁下的财富来源(意指总财富获得的来源):

- | | | |
|---|---|---|
| <input type="checkbox"/> Salary/ Pension 薪金/退休金 | <input type="checkbox"/> Business Income 商业收入 | <input type="checkbox"/> Inheritance/Gift 遗产继承/馈赠 |
| <input type="checkbox"/> Other (Please describe) 其他(请详细描述): _____ | | |

4. What is your estimated net worth? 阁下资产净值大约为?
 <HKD1,000,000 HKD1,000,000-4,000,000 HKD4,000,001-8,000,000
 > HKD8,000,000, Please specify 请注明: _____
Type of Asset: 资产种类 (HKD):
 Property 物业: _____ Cash 现金: _____ Stock 股票: _____ Others 其他: _____
5. What is your annual income? 阁下每年的收入为?
 <HKD300,000 HKD300,000-800,000 HKD800,001-1,200,000
 > HKD1,200,000 Please specify 请注明: _____
6. What is your anticipated level of Activity (Yearly)? 阁下每年预期交易活动量?
 <HKD1,000,000 HKD1,000,000-5,000,000 HKD5,000,001-10,000,000
 > HKD10,000,000 Please specify 请注明: _____
7. Is there any other information changed after account opening e.g home address, correspondence address, bank account, registered email or contact details?
在开户后, 阁下其他信息是否有任何改变? 例如家庭住址、通讯地址、银行账户、注册电子邮件或联系方式?
 No 否
 Yes (Please contact your Relationship Manager/Sales Person and provide further supporting document) 有改变 (请联系阁下的客户关系经理/销售人员并提供相关的证明文件)

Client Signature 客户签署:

Client Name 姓名: _____

Date 日期: _____ day 日 / _____ month 月 / _____ year 年

Internal Use:

附注 Note

If AE/ Salesperson confirm the above information with client through company taped recording system, please provide the taped recording details.

如经纪/证券销售员以公司录音电话与客户确认以上数据, 请详细记录录音详情。

Ext No. 内线: _____ Date 日期: _____ Time 时间: _____

Reviewed & Concurred By
核查及同意

经纪/证券销售员
AE/ Salesperson

Reviewed by
AE/Salesperson: Name: _____ Signature: _____ Date: _____

Checked by CSO: Name: _____ Signature: _____ Date: _____

System Input by: Name: _____ Signature: _____ Date: _____

Input Checked by: Name: _____ Signature: _____ Date: _____