

Periodic Review (Individual) Information Form
定期複查表格(個人)

Name of the client 客戶姓名: _____

Account Number 交易帳號: _____

Please complete below questions carefully:
請仔細填寫以下問題:

1. Please describe your occupation. If you are unemployed/retired, please describe your previous employment:
請描述閣下的工作狀況。如果閣下現時非在職/退休，請描述以前的工作狀況:

Employer Name 僱主名稱: _____

Occupation 行業:

- | | | |
|--|--|---|
| <input type="checkbox"/> 住宿及膳食服務活動
Accommodation and food service activities | <input type="checkbox"/> 享有治外法權的組織及團體活動
Activities of extraterritorial organizations | <input type="checkbox"/> 行政及支援服務活動
Administrative and support service Activities |
| <input type="checkbox"/> 農業、林業及漁業
Agriculture, forestry and fishing | <input type="checkbox"/> 藝術、娛樂及康樂活動
Arts, entertainment and recreation | <input type="checkbox"/> 建造
Construction |
| <input type="checkbox"/> 教育
Education | <input type="checkbox"/> 電力及燃氣供應
Electricity and gas supply | <input type="checkbox"/> 金融及保險活動
Financials and insurance activities |
| <input type="checkbox"/> 人類保健及社會工作活動
Human health and social work activities | <input type="checkbox"/> 進出口貿易、批發及零售業
Import/export, wholesale and retail trades | <input type="checkbox"/> 資訊及通訊
Information and communications |
| <input type="checkbox"/> 製造
Manufacturing | <input type="checkbox"/> 採礦及採石
Mining and quarrying | <input type="checkbox"/> 專業、科學及技術活動
Professional, scientific and technical activities |
| <input type="checkbox"/> 公共行政
Public administration | <input type="checkbox"/> 地產活動
Real estate activities | <input type="checkbox"/> 運輸、倉庫、郵政及速遞服務
Transportation/storage/postal/courier services |
| <input type="checkbox"/> 待業(包括未就業, 退休)*
Unemployed (incl. not employed, retired)* | <input type="checkbox"/> 自來水供應; 污水處理、廢棄物管理及污染防治活動
Water/sewerage/waste/remediation management | <input type="checkbox"/> 家庭住戶內部工作活動(包括家庭主婦)*
Work activities within domestic households (incl. housewife)* |
| <input type="checkbox"/> 其他服務活動 (請詳細描述): _____
Other service activities(Please describe)_____ | | |

Position 職位:

- | | | |
|---|---|---|
| <input type="checkbox"/> Owner of Company 公司擁有者 | <input type="checkbox"/> Self-employed 自雇 | <input type="checkbox"/> Senior Management 高級管理人員 |
| <input type="checkbox"/> Middle Level Management 中層管理人員 | <input type="checkbox"/> Clerk 文員 | <input type="checkbox"/> Housewife 家庭主婦 |
| <input type="checkbox"/> Unemployed 非在職 | <input type="checkbox"/> Student 學生 | <input type="checkbox"/> Retired 退休 |

2. Please choose at least one box to describe the source of fund (the funds that are being used on hand):
請選擇至少一個描述閣下的資金來源(意指正在使用的資金來源):

- | | | |
|---|---|---|
| <input type="checkbox"/> Salary/ Commission 薪金/傭金 | <input type="checkbox"/> Business Income 商業收入 | <input type="checkbox"/> Sale of Real Estate 物業出售 |
| <input type="checkbox"/> Saving 儲蓄 | <input type="checkbox"/> Investment Income 投資獲利 | |
| <input type="checkbox"/> Other (Please describe) 其他(請詳細描述): _____ | | |

3. Please choose at least one box to describe your source of wealth (it means the origin of your entire wealth):
請選擇至少一個描述閣下的財富來源(意指總財富獲得的來源):

- | | | |
|---|---|---|
| <input type="checkbox"/> Salary/ Pension 薪金/退休金 | <input type="checkbox"/> Business Income 商業收入 | <input type="checkbox"/> Inheritance/Gift 遺產繼承/饋贈 |
| <input type="checkbox"/> Other (Please describe) 其他(請詳細描述): _____ | | |

4. What is your estimated net worth? 閣下資產淨值大約為?

<HKD1,000,000 HKD1,000,000-4,000,000 HKD4,000,001-8,000,000

> HKD8,000,000, Please specify 請注明: _____

Type of Asset: 資產種類 (HKD):

Property 物業: _____ Cash 現金: _____ Stock 股票: _____ Others 其他: _____

5. What is your annual income? 閣下每年的收入為?

<HKD300,000 HKD300,000-800,000 HKD800,001-1,200,000

> HKD1,200,000 Please specify 請注明: _____

6. What is your anticipated level of Activity (Yearly)? 閣下每年預期交易活動量?

<HKD1,000,000 HKD1,000,000-5,000,000 HKD5,000,001-10,000,000

> HKD10,000,000 Please specify 請注明: _____

7. Is there any other information changed after account opening e.g. home address, correspondence address, bank account, registered email or contact details?

在開戶後，閣下其他資訊是否有任何改變？例如家庭住址、通訊位址、銀行帳戶、註冊電子郵件或聯繫方式？

No 否

Yes (Please contact your Relationship Manager/Sales Person and provide further supporting document) 有改變 (請聯繫閣下的客戶經理/銷售人員並提供相關的證明文件)

Client Signature 客戶簽署:

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.

如經紀/證券銷售員以公司錄音電話與客戶確認以上資料，請詳細記錄錄音詳情。

Ext No. 內線: _____

Date 日期: _____

Time 時間: _____

Reviewed & Concurred By

核查及同意

經紀/證券銷售員

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: _____