

更新帳戶資料及覆檢通知書 (個人/聯名帳戶)

Update of Account Information and Review Notice (Individual /Joint Account)

國元証券經紀 (香港) 有限公司
 Guoyuan Securities Brokerage (Hong Kong) Limited

國元期貨 (香港) 有限公司
 Guoyuan Futures (Hong Kong) Limited

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|---------------------|-----------------------|
| 帳戶名稱 Account Name : | 帳戶號碼 Account Number : |
|---------------------|-----------------------|

一、稅務狀況 (請於適當欄內加上「✓」)
Taxation Profile (Must fill in) (Please tick the appropriate box)

閣下是否美國國籍、美國永久居民、其他美國國民身份持有人或需要向美國納稅的人士?
 Are any of Client's shareholder, directors, partners, authorized person(s), the person(s) ultimately responsible for giving instructions for the Account U.S. Nationality / Permanent Resident / Other U.S. Person / or US taxpayer?

不是 No 是 Yes, 請提供美國納稅人識別號碼 (TIN) please provide U.S. Taxpayer Identification Number (TIN) _____

居留司法管轄區及稅務編號 Tax Residency and Taxpayer Identification Number

申報不變 No change

需更新 Need to update (請填寫自我證明表格 CRS-個人 Please complete Self Certification Form CRS-Individual)

二、財務狀況 (請於適當欄內加上「✓」)
Financial Profile (Must fill in) (Please tick the appropriate box)

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| 投資目標: 股票/基金/債券 Investment Goal: Stocks/ Funds/ Bonds | a) 投資計劃 Investment Goal <input type="checkbox"/> 短期 Short <input type="checkbox"/> 中期 Medium <input type="checkbox"/> 長期 Long | b) 風險程度 Risk Tolerance <input type="checkbox"/> 低風險 Low <input type="checkbox"/> 中風險 Medium <input type="checkbox"/> 高風險 High |
| 全年總收入 (港幣) Annual Income (HKD) : | <input type="checkbox"/> ≤\$250,000 <input type="checkbox"/> \$250,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$2,000,000 <input type="checkbox"/> \$2,000,001 - \$5,000,000 <input type="checkbox"/> >\$5,000,000 | |
| 收入來源 Source of Fund : | <input type="checkbox"/> 薪俸/營業收入 Salary /Business Income <input type="checkbox"/> 退休金 Retirement Funds <input type="checkbox"/> 投資回報 Return on Investments <input type="checkbox"/> 其他 Others: _____ | |
| 資產淨值 (注: 即總資產減去總負債)(港幣) Net Worth (Note: Total Assets minus Total Liabilities): (HKD) | <input type="checkbox"/> ≤\$1,500,000 <input type="checkbox"/> \$1,500,001 --- \$3,000,000 <input type="checkbox"/> \$3,000,001 --- \$5,000,000 <input type="checkbox"/> \$5,000,001 --- \$8,000,000 <input type="checkbox"/> \$8,000,001 --- \$20,000,000 <input type="checkbox"/> >\$20,000,000 | |
| 資金的最初來源 (財富來源) Source of Wealth: | <input type="checkbox"/> 薪俸/營業收入 Salary /Business Income <input type="checkbox"/> 儲蓄 Savings <input type="checkbox"/> 投資回報 Investment Income <input type="checkbox"/> 遺產/贈物 Inheritance/Gift <input type="checkbox"/> 退休金 Retirement Funds <input type="checkbox"/> 出售物業/資產 Sales Proceeds of Property/Assets <input type="checkbox"/> 其他 Others: _____ | |
| 投資經驗 Investment Experience: | 股票 Stocks : <input type="checkbox"/> 無 Nil <input type="checkbox"/> 有 Yes (_____年 Years) 外匯/黃金 FX / Gold: <input type="checkbox"/> 無 Nil <input type="checkbox"/> 有 Yes (_____年 Years) 債券/基金 Bonds/Funds: <input type="checkbox"/> 無 Nil <input type="checkbox"/> 有 Yes (_____年 Years) 期貨/期權 Futures/Option: <input type="checkbox"/> 無 Nil <input type="checkbox"/> 有 Yes (_____年 Years) 牛熊證/窩輪 CCBC/Warrants: <input type="checkbox"/> 無 Nil <input type="checkbox"/> 有 Yes (_____年 Years) 結構性產品 Structured Products: <input type="checkbox"/> 無 Nil <input type="checkbox"/> 有 Yes (_____年 Years) | |
| 投資目的: Investment Objective: | <input type="checkbox"/> 資本增值 Capital Appreciation <input type="checkbox"/> 股息回報 Dividend Yield <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 其他 Others : _____ | |
| 預計投資產品 Anticipated Investment Products: | <input type="checkbox"/> 港股 Stocks <input type="checkbox"/> 中華通 China Connect Securities <input type="checkbox"/> 海外股票 Overseas Stocks <input type="checkbox"/> 基金 Funds <input type="checkbox"/> 債券 Bond <input type="checkbox"/> 期貨/期權 Futures/Option <input type="checkbox"/> 其他結構性產品 Other Structured Products | |
| 預計每月交易金額: (港幣) Anticipated Monthly Transaction Amounts: (HKD) | <input type="checkbox"/> ≤\$1,000,000 <input type="checkbox"/> \$1,000,001 --- \$3,000,000 <input type="checkbox"/> \$3,000,001 --- \$5,000,000 <input type="checkbox"/> \$5,000,001 --- \$10,000,000 <input type="checkbox"/> >\$10,000,000 | |
| 客戶對衍生產品的認識 Client Knowledge on Derivative Product | 閣下曾否接受有關衍生產品性質和風險的一般知識培訓或修讀相關課程? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No Has the account holder(s) ever attended any trainings or courses that provide general knowledge on the nature and risk of derivatives products? 閣下現時或過去是否從事與衍生產品有關的工作? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No Has any of the account holder(s)'s current or previous work experience been related to derivative products? 閣下於過去三年是否曾買賣過至少五次任何衍生產品的交易? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No Has the account holder(s) executed five or more transactions in derivative products? | |

within the past three years?

注：如閣下沒有以上任何一項經驗及認識，閣下將被視作沒有相關衍生工具產品的認識。在買賣衍生產品前，閣下必須留意並清楚明白衍生工具產品交易之風險，有關風險之內容可閱讀國元證券經紀(香港)一份有關衍生工具產品的《風險披露及免責聲明書》。 **Note:** If the account holder(s) does not have any of the above knowledge or experience, you will be treated as without knowledge on derivatives products. Before trading in derivatives products, you must pay attention to and ensure your understanding on the risks associated with derivatives products, the contents of which are stated in "Risk Disclosure Statements — Derivative Products"

三、關連帳戶狀況 (請於適當欄內加上「✓」)

Related Account (Must fill in) (please tick "✓" the appropriate box)

閣下，此帳戶的最終受益擁有人及/或最終負責發出指示的人士是否為國元證券經紀(香港)/國元期貨(香港)或國元國際屬下的其他集團公司之董事或職員或其之親屬? Is the account holder(s), the ultimate beneficial owner of the account and/or the person ultimately responsible for originating instructions for the account has any relationship with the director(s) or employee(s) of GYSB/ GYF or GYIH' s other member companies within its group of companies?

否 No 是，請提供下列信息 Yes, please provide the following information

有關人士的姓名 Name of the Relevant Person(s) : _____

董事或僱員的姓名 Department of the Director(s) or Employee(s) : _____

董事或僱員的所屬部門 Department of the Director(s) or Employee(s) : _____

與董事或僱員的關係 Name of the Director(s) or Employee(s) s : _____

閣下的配偶是否在國元證券經紀(香港)/國元期貨(香港)或國元國際屬下的其他集團公司開有帳戶? Does the spouse of the account holder(s) maintain a margin account with GYSB/ GYF or GYIH' s other member companies within its group of companies?

否 No 是，請提供配偶姓名 Yes, please provide Name of the Spouse : _____

帳戶號碼 Account Number : _____

閣下是否個人或與您的配偶共同控制國元證券經紀(香港)/國元期貨(香港)或國元國際屬下的其他集團公司的公司客戶 35%以上的股權? Does the account holder(s), either alone or with his/her spouse, control 35% or more of the voting rights of any corporate client(s) of GYSB/ GYF or GYIH' s other member companies within its group of companies?

否 No 是，請提供相關公司客戶名稱：_____ 帳戶號碼：_____

Yes, please provide Name of the Corporate Client(s) Account Number:

四、個人資料聲明 (請於適當欄內加上「✓」)

Personal Information Disclosure (Must fill in) (please tick "✓" the appropriate box)

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|---------------------------------|---------------------------------------|--|--------------|--|---------------------------------------|-------------------------------------|
| 婚姻狀況： Marital Status: | <input type="checkbox"/> 單身 Single | <input type="checkbox"/> 已婚 Married | 教育程度： | <input type="checkbox"/> 小學 Primary | <input type="checkbox"/> 中學 Secondary | <input type="checkbox"/> 大專 College |
| | | | | <input type="checkbox"/> 大學或以上 Graduate or above | | |

帳戶持有人是否為帳戶最終受益擁有人? 是 Yes 否 No

Is the account holder(s) also the ultimate beneficial owner of the account?

帳戶持有人是否為帳戶最終負責發出指示的人士? 是 Yes 否 No

Is the account holder(s) also the person ultimately responsible for originating instructions for the account?

注意：若上述任何一項問題勾選「否」，請額外提供相關人士之資料。

P.S. If "No" is selected for any of the questions above, please provide personal information of the relevant persons.

閣下，此帳戶的最終受益擁有人及/或最終負責發出指示的人士是否為香港證監會持牌/金管局註冊人士?(如是香港證監會/金管局持牌人士請提供僱主同意信) Is the account holder(s), the ultimate beneficial owner of the account and/or the person ultimately responsible for originating instructions for the account a licensed/ registered person? (For SFC licensed/ HKMA registered person, please provide consent letter from the employer)

否 No 是，請提供名稱 Yes, please provide the Name : _____ 中央/註冊編號 CE No./ Registered No. : _____

閣下與股份在任何交易所買賣的上市公司的高級人員/董事/主要股東是否有任何親屬關係? Does the account holder(s) has any relationship with senior officers/ directors/ substantial shareholders of any listed company whose shares are traded on any exchange?

否 No 是，請額外提供詳細信息 Yes, please provide additional details.

閣下，此帳戶的最終受益擁有人及/或最終負責發出指示的人士是否為擔任重要公職之人士，例如重要政客或高級政府官員、司法或軍事官員、國有企業高級行政人員及重要政黨理事或其家人或有密切聯繫人士(「政治人物」)? Is the account holder(s), the ultimate beneficial owner of the account and/or the person ultimately responsible for originating instructions for the account entrusted with prominent public functions, such as senior political or senior government officials, judicial officials, military officials, senior executive of state owned corporations, important director of political party or family members or close associates of the above-mentioned parties (the "PEP")?

否 No 是，請額外提供詳細信息 Yes, please provide additional details.

閣下是否曾經涉及違法或違反監管守則而被捕/受審/被判刑/被紀律處分? Has the account holder(s) ever been arrested/tried/sentenced/disciplined for committing illegal activities or violating regulatory requirements?

否 No 是，請說明 Yes, please specify: : _____

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| 五、更改事項 (請在適當空格加 ✓) Nature of Changes (Please tick the appropriate box) | | |
| 1、個人資料 Personal Data ^{註1} (需提供證明文件) (Please provide the supporting documents) | | |
| <input type="checkbox"/> 帳戶名稱 Account Name: | <input type="checkbox"/> 身份證明文件號碼 No. of Identification Document: | |
| 2、地址 Address | | |
| <input type="checkbox"/> 住宅地址 (提供證明文件) Residential Address: (Please provide the supporting documents) | | |
| <input type="checkbox"/> 通訊地址 Correspondence Address: | | |
| <input type="checkbox"/> 電郵地址 E-mail Address: | | <input type="checkbox"/> 變更 Change <input type="checkbox"/> 新增 Add |
| 3、聯繫電話 New Contact Phone Number ^{註2} <input type="checkbox"/> 變更 Change <input type="checkbox"/> 新增 Add | | |
| 住宅電話 Home Tel: | 流動電話 Mobile Phone: | |
| 傳真號碼 FAX No. : | 辦公室電話 Office Tel: | |
| 4、更改收取結單方式 Change of Statement Receive Method | | |
| <input type="checkbox"/> 電子郵件(已登記電郵) By E-mail 或 or | | |
| <input type="checkbox"/> 郵寄 (通訊地址) (需每月繳付行政費用) By Mail (Monthly administrative fee is required) | | |
| 5、銀行帳戶 New Bank Account (只接受同名帳戶及需提供證明文件) (Same name and supporting documents are required) | | |
| <input type="checkbox"/> 變更 Change <input type="checkbox"/> 新增 Add | | |
| 銀行名稱 Name of Bank: | 銀行號碼 Account No. : | |
| 6、2FA【一次性驗證碼】接收方式 One-time Verification Code Receive Method (只可選擇一種方式 Tick One Only) ^{註3} | | |
| 證券 | <input type="checkbox"/> 手機短訊或國元令牌獲取 SMS or Token | <input type="checkbox"/> 國元令牌獲取 Only Token |
| 期貨 | <input type="checkbox"/> 手機短訊獲取 Only SMS | |
| 指定手機 Mobile Phone No.: | | 指定郵箱 E-mail: |
| 7、職業資料 Employment (請選擇以下其中一項 Please choose one of the following options) | | |
| 就業狀況： Employment Status: | <input type="checkbox"/> 受僱 Employed <input type="checkbox"/> 自僱 Self-employed <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 無業 Unemployed <input type="checkbox"/> 家庭主婦 Housewife <input type="checkbox"/> 學生 Student | |
| 僱主名稱 Name of Employer: : | 職位 Position: : | 受僱年數 Years Employed: : |
| 辦公地址 Office Address: : | | |
| 行業/職業類別：(請選擇以下其中一項 Please choose one of the following options) | | |
| <input type="checkbox"/> 農業/漁業/林業 Agriculture/ Animal Husbandry and Forestry/ Fishery <input type="checkbox"/> 現金密集型企業 Cash Intensive Business <input type="checkbox"/> 教育 Education Services <input type="checkbox"/> 資訊科技 Information Technology <input type="checkbox"/> 製造 Manufacturing | <input type="checkbox"/> 古董/藝術經銷商 Antique/ Art Dealership <input type="checkbox"/> 賭場/彩票 Gambling/Lottery <input type="checkbox"/> 信託 Trust <input type="checkbox"/> 保險 Insurance <input type="checkbox"/> 醫藥 Pharmaceuticals | <input type="checkbox"/> 軍備業務 Armaments Business <input type="checkbox"/> 慈善/福利機構 Charities/Welfare Institutions <input type="checkbox"/> 金融 Finance <input type="checkbox"/> 法律 Legal <input type="checkbox"/> 礦工 Mining |
| <input type="checkbox"/> 美容/保健服務 Beauty/ Healthcare Services <input type="checkbox"/> 娛樂(夜總會) Entertainment <input type="checkbox"/> 政府部門 Government Sector <input type="checkbox"/> 車船交易商 Car/ Boat Dealership <input type="checkbox"/> 貨幣兌換 Money Changer | <input type="checkbox"/> 典當 Pawn Shop <input type="checkbox"/> 餐飲 Restaurant <input type="checkbox"/> 酒店 Hotels <input type="checkbox"/> 物流 Logistics <input type="checkbox"/> 貴金屬商 Precious Metal Dealer | |

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|--|---|---|---|--|
| <input type="checkbox"/> 批發 Wholesales <input type="checkbox"/> 運輸 Transport <input type="checkbox"/> 其他 Others (請註明 please specify) : _____ | <input type="checkbox"/> 公共服務 Public Services <input type="checkbox"/> 二手汽車/機械零件 買賣商 Used Automobile/ Machine Parts Dealer | <input type="checkbox"/> 房地產 Real Estate <input type="checkbox"/> 珠寶 Jewelry | <input type="checkbox"/> 零售 Retail sales <input type="checkbox"/> 進出口貿易 Import & Export Trades | <input type="checkbox"/> 旅遊 Travel/ Tourism <input type="checkbox"/> 自由投資者 Self-directed Investor |
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8、其他更改事項 (請註明) Change of Other (Please Specify) :

註1 請提供正本或經核實有關證明文件副本 Please provide the original or a certified true copy of the relevant document
 註2 如海外電話號碼，請於號碼前加入國家編碼及地區編碼(如有)。For overseas phone number, please add country code and area code (if any) in front of the number
 註3 如更換【一次性驗證碼】接收方式-2FA，可以電話進行指示發起申請，也可以簽署此表格發起申請。The change of 2FA one-time verification code receive method application can be initiated by telephone or by signing this form.
 註4 如更換或新增銀行帳戶，需提供銀行資料證明。Please provide the relevant bank account proof

客戶聲明：本人/吾等確認以上所載資料均屬正確及完整，並同意受國元證券經紀(香港)有限公司及/或國元期貨(香港)有限公司的有關客戶協議書及/或其他相關服務條款及細則所約束。本人/吾等同意個人資料的更新將適用於本人/吾等於國元證券經紀(香港)有限公司及/或國元期貨(香港)有限公司開立之所有帳戶。
Client Declaration : I/We confirm that the information given above is correct and complete and that I/we agree to be bound by the terms and conditions set out in the relevant client's agreement and/or other ancillary documents of Guoyuan Securities Brokerage (HK) Limited and/or Guoyuan Futures (HK) Limited. I/We agree that update of any personal information will be applied to all of my accounts maintained with Guoyuan Securities Brokerage (HK) Limited and/or Guoyuan Futures (HK) Limited.

客戶簽署 Customer' s Signature 經紀及客戶經理簽署 AE /Account Manager' s Signature

核對簽名

姓名： _____ 日期 Date: _____ 姓名： _____ 日期 Date: _____

| 只供內部使用 | | | |
|---|---|---|--------------------------------------|
| 1. 運營部人員 確定方式： <input type="checkbox"/> 面見 <input type="checkbox"/> 經紀及客戶人員確定 <input type="checkbox"/> 電話 <input type="checkbox"/> 未能聯絡客戶 電話號碼 _____ 日期及時間 _____ <input type="checkbox"/> 未能聯絡客戶 1. _____ 2. _____ 3. _____ | <input type="checkbox"/> 打印年檢相關紀錄 <input type="checkbox"/> 已通知跟進人/客戶需提交(如適用) _____ 客戶已提交(如適用) _____ | 運營部人員簽署 日期: _____ | |
| 2. 結算部人員 下次覆檢年度： _____ 完成覆檢日期： _____ | 根據新收的年檢文件內資料輸入，例如： 1. 基本客戶個人資料 2. 財務狀況 3. 已補文件 4. 更新文件及證件日期 5. 其他: _____ | 結算部輸入人員簽署 日期: _____ | 結算部審核員簽署 日期: _____ |
| 3. 合規人員審查評估及意見 (涉及特別審批適用) 風控系統審批 | | | 合規人員簽署 日期: _____ |
| 4. 負責人員風險評級及其他意見 風控系統審批 | 資金往來： <input type="checkbox"/> 沒有資金往來 <input type="checkbox"/> 正常 <input type="checkbox"/> 不正常 帳戶交易： <input type="checkbox"/> 沒有交易 <input type="checkbox"/> 正常 <input type="checkbox"/> 不正常 ➤ 審批後轉交結算部 | | 負責人員簽署 日期: _____ |