

**Client's Profile Review Form (Corporate Client)**  
**客戶資料覆核表格 (公司客戶)**

Name of Client 客戶名稱 : \_\_\_\_\_

Account Number 帳戶號碼 : \_\_\_\_\_

**Please choose the appropriate answer 請選擇適當答案****1. Latest Background 最新背景狀況**

- (a) Has there been any change to your particulars (e.g. identity document, address, phone number, email)? 客戶之資料(例如身份證明文件、地址、電話及電郵地址)是否有改變?  
☐ No 否 ☐ Yes, please fill in the [Change of Client Data Form](#) 是, 請填寫[更新客戶資料表格](#)。
- (b) Has there been any change to your business nature? 客戶之業務性質是否有改變?  
☐ No 否 ☐ Yes 是  
If yes, please specify 如是, 請說明: \_\_\_\_\_
- (c) Are your beneficial owners, directors and/or authorized person and/or their respective spouse, partner, children, parents, close associates a Politically Exposed Person ("PEP")\*、terrorist or sanctioned person? 你的實益擁有人、董事及/或授權人及/或其各自的配偶、伴侶、子女、父母、關係密切的人是否政治人物\*、恐怖分子或受制裁人士?  
☐ No 否 ☐ Yes 是  
If yes, please specify 如是, 請說明: \_\_\_\_\_  
\*PEP includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation, an important political party official and entrusted with prominent function (e.g. senior management) of international organization 政治人物包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員、重要政黨幹事及在國際組織擔任或曾擔任重要職位(例如高級管理層)
- (d) Do you and/or your beneficial owners, directors and/or authorized person have any record of proceedings, violation of laws disciplines or regulations or of crimes? 你及/或你的實益擁有人、董事及/或授權人是否有任何訴訟、違法、違紀、違規及犯罪記錄?  
☐ No 否 ☐ Yes 是  
If yes, please specify 如是, 請說明: \_\_\_\_\_

**2. Ownership and Control Structure 擁有權及控制權結構**

- (a) Has there been any change to your ownership structure? 客戶之擁有權結構是否有改變?  
☐ No 否  
☐ Yes 是 If yes, please provide the latest ownership chart and answer question (a)(i)-(iv) 如是, 請提供最新的擁有權架構圖及回答問題(a)(i)-(iv)
- (a)(i) Is your corporate structure complex, e.g. consisting of numerous intermediate layers? 客戶的企業結構是否複雜(例如擁有眾多中介層)?  
☐ No 否 ☐ Yes, please specify the reason 是, 請說明原因: \_\_\_\_\_
- (a)(ii) Has there been any change in **Substantial Shareholders** of the Corporate Account (i.e. shareholder hold 10% or more of the issued share capital of the corporate) 公司帳戶的**主要股東**是否有變更 (主要股東為擁有 10%或以上股權的股東)?  
☐ No 否 ☐ Yes, please specify 是, 請說明\*: \_\_\_\_\_
- (a)(iii) Has there been any change in **Ultimate Beneficial Owner** of the Corporate Account (if applicable) 公司帳戶的**最終受益人**是否有變更 (如適用)?  
☐ No 否 ☐ Yes, please specify 是, 請說明\*: \_\_\_\_\_
- (a)(iv) Is the client with nominee shareholders or significant portion of capital in the form of bearer shares? 客戶是否有股東代理人或很大部分的資本都是以無記名股票形式?  
☐ No 否 ☐ Yes, please specify the reason 是, 請說明原因: \_\_\_\_\_
- (b) Has there been any change in **Directors** of the Corporate Account 公司帳戶的**董事**是否有變更?  
☐ No 否 ☐ Yes, please specify 是, 請說明\*: \_\_\_\_\_

\*Please provide certified ID/Passport of new substantial shareholder/ultimate beneficial owner/directors and latest certified Company Search Report or equivalent supporting documents 請提供新主要股東/最終受益人/董事的核證身份證/護照證明及最近期的核證公司查冊報告或同等文件

### 3. Financial Profile 財務概況

#### a) Latest Net Asset Value 最近期資產淨值

- ☐ Below 低於 HKD1,000,000      ☐ HKD1,000,000 – HKD3,000,000      ☐ HKD3,000,001 – HKD8,000,000  
☐ HKD8,000,001 – HKD40,000,000      ☐ HKD40,000,001 – HKD80,000,000      ☐ Above 高於 HKD80,000,000

#### b) Latest Annual Net Profit Before Tax 最近期年度稅前純利

- ☐ Below 低於 HKD200,000      ☐ HKD200,000 – HKD500,000      ☐ HKD500,001 – HKD1,000,000  
☐ HKD1,000,001 – HKD3,000,000      ☐ HKD3,000,001 – HKD8,000,000      ☐ Above 高於 HKD8,000,000

### 4. Identification of Sources of Wealth (“SOW”) 識別財富來源 (More than 1 option can be selected 可選擇多於一項) (SOW refers to the origin of the entire body of client's wealth (i.e. total asset))(財富來源是指源自客戶原有的整體財富(即總資產))

- ☐ Shareholder Fund 股東資金 (Please fill in Q12 請再填寫 Q12)  
☐ Business Income 業務收益  
☐ Investment Income 投資獲利  
 (Please further select the below option(s), more than 1 option can be selected 請再選擇下列選項，可選擇多於一項)  
 Source of Investment Income 投資收入來源:  
☐ Real Estate Investment 物業投資  
☐ Listed Securities Investment 上市證券投資  
☐ OTC Products Investment 場外交易產品投資  
☐ Futures/Options Investments 期貨/期權投資  
☐ Other Investments 其他投資: \_\_\_\_\_  
☐ Rental Income 租金收入  
 (Please further select the below option(s), more than 1 option can be selected 請再選擇下列選項，可選擇多於一項)  
 Source of Rental Income 租金收入來源: ☐ Residential Property 住宅物業 / ☐ Factory Building 工廠 /  
☐ Office Building 寫字樓 / ☐ Retail Property 商舖物業  
☐ Others 其他: \_\_\_\_\_

#### **Additional Information (if any) 其他資料(如有)**

*If the net worth of the customer is inconsistent with source of wealth or if we deem necessary on a risk-sensitive basis, we are entitled to collect additional asset proof from the customer to verify the source of wealth.*

如客戶的財富淨值與財富來源不一致 或 本公司基於風險敏感度認為有必要時，本公司有權向客戶收集額外的資產證明文件從而認證客戶的財富來源。

### 5. Country/Jurisdiction of SOW Origination 財富來源地

- ☐ China 中國    ☐ Hong Kong 香港    ☐ United Kingdom 英國    ☐ United States 美國    ☐ Singapore 新加坡  
☐ Others, please specify 其他, 請註明: \_\_\_\_\_

### 6. Identification of Sources of Funds (“SOF”) 識別資金來源 (More than 1 option can be selected 可選擇多於一項)

- ☐ Business Owner 公司股東 (Please fill in Q12 請再填寫 Q12)      ☐ Sales Proceeds 銷售款項  
☐ Investment Income 投資獲利      ☐ Financial Loan 財務借款  
☐ Others 其他: \_\_\_\_\_

### 7. Anticipation of Source of Fund Deposit in future 預計將來的存款來源

- ☐ Transfer from client's own bank account 由客戶自己的銀行戶口轉入  
☐ Transfer from 3<sup>rd</sup> Party's bank account\* 由第三者的銀行戶口轉入\*  
 (Name of 3<sup>rd</sup> Party 第三者姓名: \_\_\_\_\_, Relationship 關係: \_\_\_\_\_)

#### **Additional Information (if any) 其他資料(如有)**

*\*Please note that our company will not accept any form of third party fund deposit. If the client declares that the fund will be transferred from 3<sup>rd</sup> party's bank account in the above question, our company may reject opening/maintaining this client account.*

\*請注意本公司並不接受第三者存款。如客戶在上述問題中聲明資金會由第三者銀行戶口轉入，本公司可能會拒絕開立/維持客戶帳戶。

**8. Country/Jurisdiction of SOF Origination 資金來源地**

- ☐ China 中國    ☐ Hong Kong 香港    ☐ United Kingdom 英國    ☐ United States 美國    ☐ Singapore 新加坡  
☐ Others, please specify 其他, 請註明: \_\_\_\_\_

**9. Estimated amount of monthly transactions in the coming year 估計來年每月交投金額**

- ☐ Below 低於 HKD 500,000  
☐ HKD 500,000 - HKD 5,000,000  
☐ HKD 5,000,001 - HKD 20,000,000  
☐ Above 高於 HKD 20,000,000

**10. Estimated frequency of monthly transactions in the coming year 估計來年每月交投次數**

- ☐ Less than once per month    ☐ 1-10 times per month  
 1 個月少於 1 次    1 個月 1-10 次  
☐ 11- 20 times per month    ☐ More than 20 times per month  
 1 個月 11 - 20 次    1 個月多於 20 次

**11. Investment Objective 投資目標 (Please choose the appropriate one 只選其中一項)**

- ☐ Conservative    ☐ Growth  
 保守    增長  
☐ Aggressive  
 進取

**12. Shareholder Information 股東資料**

(For more than 1 shareholder, please fill in the below on separate sheet 若多於一個股東, 請另頁填寫以下資料)

**1. Personal Annual Income 個人每年收入:**

- ☐ Below 低於 HKD300,000    ☐ HKD300,000 - HKD800,000  
☐ HKD800,001 - HKD1,200,000    ☐ Above 高於 HKD1,200,000

**2. Personal Net Worth 個人財富淨值:**

- ☐ Below 低於 HKD1,000,000    ☐ HKD1,000,000 - HKD8,000,000  
☐ HKD8,000,001 - HKD20,000,000    ☐ Above 高於 HKD20,000,000

**3. SOW 財富來源:**

- ☐ Salary 薪金    ☐ Pension 退休金    ☐ Business Income 個人業務收益  
☐ Investment Income 投資獲利    ☐ Rental Income 租金收入    ☐ Inheritance/Gift 遺產繼承/餽贈  
☐ Others 其他: \_\_\_\_\_

**4. SOF 資金來源:**

- ☐ Salary/Commission 薪金/佣金  
 (\*Please state 請列出 (i) company's name 公司名稱 \_\_\_\_\_;  
 (ii) industry 行業 \_\_\_\_\_)  
☐ Savings 儲蓄    ☐ Investment Income 投資獲利    ☐ Sale of Real Estate 售出物業  
☐ Own Business 個人業務    ☐ Others 其他: \_\_\_\_\_

Please complete either section (A) or (B) below.

Section (A) shall be completed and signed by the client. Section (B) shall be completed and signed by salesperson.

請填寫下列(A)部分或(B)部分。

(A)部分是由客戶填寫及簽署。(B)部分是由經紀填寫及簽署。

**(A) Client Declaration 客戶聲明**

Please update the above to the records of all the account(s) maintained with Shenwan Hongyuan Securities (H.K.) Limited and Shenwan Hongyuan Futures (H.K.) Limited and / or other member company of the Shenwan Hongyuan Group ("Shenwan Hongyuan Group" means Shenwan Hongyuan (H.K.) Limited and its subsidiaries) (collectively, the "Company") under the Name of Client above. We confirm that such change(s) shall also apply to all documents we previously executed without any effect on the legality of such documents. We declare that all information provided in this Form and all supporting and relevant documents submitted by us to your Company in relation to this Form is true, complete, accurate and up-to-date. Your Company is entitled to rely fully on such information for all purposes unless your Company has received actual prior notice in writing of any change from me/us. We undertake that we shall advise your Company forthwith any changes to the information supplied in this Form.

請將上列更新至所有我們在申萬宏源證券（香港）有限公司及/或申萬宏源期貨（香港）有限公司及/或申萬宏源集團（申萬宏源集團指申萬宏源（香港）有限公司及其子公司）其他成員公司開立的戶口。我們確認此等更新同時適用於我們在此日期前簽署的一切文件，此等文件的法律效力，不會被此等更新所影響。我們聲明在本表中提供的所有資訊以及我們向貴公司就本表所提交的一切證明及相關文件均為真實、完整、準確的最新資訊。在貴公司實際收到我們更改此類資訊的任何書面通知之前，貴公司有權完全依賴此類資訊而作出任何目的之行動。我們承諾就本表所提供的任何資訊出現變化時立即通知貴公司。

Authorized Signatory : \_\_\_\_\_  
 授權簽署

Name of Authorized Person(s) : \_\_\_\_\_  
 授權人姓名

Date : \_\_\_\_\_  
 日期

**OR 或**

**(B) Salesperson Declaration 經紀聲明**

I confirmed that I received the above client information via centralized tape recording system with details as below  
 本人確認本人經紀透過中央電話錄音系統接收上述客戶資料（詳情如下）

Recorded Phone Date & Time : \_\_\_\_\_  
 電話錄音日期及時間 Date (DD/MM/YYYY) Time

Recorded Phone Number : \_\_\_\_\_  
 錄音電話號碼

Signature of the Salesperson : \_\_\_\_\_  
 經紀簽署 Name of Salesperson:

Date : \_\_\_\_\_  
 日期