



CLIENT'S PROFILE REVIEW FORM (INDIVIDUAL)
客戶資料覆核表格 (個人客戶)

Name of Client 客戶名稱 : _____

Account Number 帳戶號碼 : _____

* For a joint account, please complete this form for each account holder. 如為聯名戶口，每位戶口持有人需個別填寫此表格。

Please choose the appropriate answer 請選擇適當答案

1. Latest Personal Background and Disclosure 最新個人背景狀況及披露

Has there been any change to your personal information (e.g. identity document, address, phone number, email)? 你的個人資料(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](#)。

Are you and/or your spouse, partner, children, parents or close associates a Domestic/Foreign/International Organization Politically Exposed Person ("PEP") or its associate, terrorist or terrorist associate or sanctioned person? 你及/或你的配偶、伴侶、子女、父母或與你關係密切的人是否本地/外地/國際組織政治人物或其關聯者、恐怖分子或其關聯者或制裁人士?

☐ No 否 ☐ Yes 是

If yes, please specify 如是，請說明:_____

Have you been involved in any money laundering proceedings? 客戶是否曾牽涉於洗錢的訴訟?

☐ No 否 ☐ Yes 是

If yes, please specify 如是，請說明:_____

2. Latest Employment Status 最近就業狀況

☐ Self-employed 自僱人士 Name of Business 公司名稱: _____
 Occupation 職業: _____ Business Nature 業務性質: _____

☐ Employed 受僱人士 Name of Employer 僱主名稱: _____
 Occupation 職業: _____ Business Nature 業務性質: _____

☐ Unemployed 無業 ☐ Student 學生 ☐ Housewife 主婦 ☐ Retired 退休

☐ Others 其他: _____

3. Personal Annual Income 個人每年收入

☐ Below HK\$300,000 低於 HK\$300,000	☐ HK\$300,001 - HK\$800,000 由 \$300,001 至 HK\$800,000
☐ HK\$800,001 - HK\$1,200,000 由 HK\$800,001 至 HK\$1,200,000	☐ Above HK\$1,200,000 高於 HK\$1,200,000

4. Personal Net Worth 個人財富淨值

☐ Below HK\$1,000,000 低於 HK\$1,000,000	☐ HK\$1,000,001 - HK\$8,000,000 由 HK\$1,000,001 至 HK\$8,000,000
☐ HK\$8,000,001 - HK\$20,000,000 由 HK\$8,000,001 至 HK\$20,000,000	☐ Above HK\$20,000,000 高於 HK\$20,000,000

5. 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))

- ☐ Salary/Pension 薪金/退休金
- ☐ Business Income 個人業務收益
(*Please state the company's name 請列出公司名稱: _____) *Must fill 必須填寫
(*Please state the industry 請列出相關業務: _____) *Must fill 必須填寫
- ☐ 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: ☐ Hong Kong Real Estate Investment 香港物業投資 /
☐ Overseas Real Estate Investment 海外物業投資 / ☐ Hong Kong Securities Investment 香港證券投資 /
☐ Overseas Securities Investment 海外證券投資 / ☐ Others 其他: _____
- ☐ 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 商鋪物業
- ☐ Inheritance/Gift 遺產繼承/餽贈
- ☐ Others 其他: _____

Additional Information (if any)

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。

6. Country/Jurisdiction of SOW Origination 財富來源地

- ☐ FATF Member Countries/Jurisdictions and Equivalent Jurisdictions (e.g. China, Hong Kong, United Kingdom, Singapore, etc) (please refer to Table 1)
打擊清洗黑錢財務行動特別組織(FATF)成員國/司法管轄區及對等司法管轄區（如中國、香港、英國、新加坡等）（請參閱表1）
- ☐ Others, please state the relevant countries: _____
其他，請註明相關國家: _____

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 3rd Party's bank account* 由第三者的銀行戶口轉入*
(Name of 3rd 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 3rd party's bank account in the above question, our company may reject 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，本公司可能會拒絕維持客戶帳戶。

8. 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)

- ☐ Salary/Commission 薪金/佣金 ☐ 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: _____

9. Country/Jurisdiction of Source of Future Fund Deposit Origination 預計將來的存款來源地

- ☐ FATF Member Countries/Jurisdictions and Equivalent Jurisdictions (e.g. China, Hong Kong, United Kingdom, Singapore, etc) (please refer to Table 1) 打擊清洗黑錢財務行動特別組織(FATF)成員國/司法管轄區及對等司法管轄區(如中國、香港、英國、新加坡等)(請參閱表1)
- ☐ Others, please state the relevant countries: _____
其他, 請註明相關國家: _____

10. Estimated average daily volume of transactions (in HKD) in the coming year 估計來年平均每日之交投量(以港幣計算)

- | | |
|---|---|
| ☐ Below HKD 50,000
低於 HKD50,000 | ☐ Between HKD 50,001 to HKD 250,000
由 HKD50,001 至 HKD 250,000 |
| ☐ Between HKD 250,001 to HKD 500,000
由 HKD250,001 至 HKD 500,000 | ☐ Above HKD 500,001
高於 HKD500,001 |

11. 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 個月少於 1 次 | ☐ 1-10 times per month
1 個月 1-10 次 |
| ☐ 11- 20 times per month
1 個月 11 - 20 次 | ☐ More than 21 times per month
1 個月多於 21 次 |

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

- | | |
|---|---------------------------------------|
| ☐ Conservative
保守 | ☐ Growth
增長 |
| ☐ Aggressive
進取 | |

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. I/We confirm that such change(s) shall also apply to all documents I/we previously executed without any effect on the legality of such documents. I/We declare that all information provided in this Form and all supporting and relevant documents submitted by me/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. I/We undertake that I/we shall advise your Company forthwith any changes to the information supplied in this Form.

請將上列更新至所有本人 / 吾等在申萬宏源證券（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（統稱為“貴公司”）開立的戶口。本人 / 吾等確認此等更新同時適用於本人 / 吾等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。本人 / 吾等聲明在本表中提供的所有資訊以及本人 / 吾等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。在貴公司實際收到本人 / 吾等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。本人 / 吾等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。

Signature of the Account Holder :

帳戶持有人簽署

Name of Client:

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/YY)

Time

Recorded Phone Number :

錄音電話號碼

Signature of the Salesperson :

經紀簽署

Name of Salesperson:

Date :

日期

<表 1 Table 1>

打擊清洗黑錢財務行動特別組織的成員國包括以下 37 個成員國和 2 個地區組織

The FATF currently comprises 37 member jurisdictions and 2 regional organizations

Argentina 阿根廷	Finland 芬蘭	Italy 意大利	Russian Federation 俄羅斯
Australia 澳洲	France 法國	Japan 日本	Saudi Arabia 沙地阿拉伯
Austria 奧地利	Germany 德國	Kingdom of the Netherlands 荷蘭	Singapore 新加坡
Belgium 比利時	Greece 希臘	Luxembourg 盧森堡	South Africa 南非
Brazil 巴西	Gulf Co-operation Council 海灣合作理事會	Malaysia 馬來西亞	Spain 西班牙
Canada 加拿大	Hong Kong, China 中國香港	Mexico 墨西哥	Sweden 瑞典
China 中國	Iceland 冰島	New Zealand 新西蘭	Switzerland 瑞士
Denmark 丹麥	India 印度	Norway 挪威	Turkey 土耳其
European Commission 歐洲委員會	Ireland 愛爾蘭	Portugal 葡萄牙	United Kingdom 英國
	Israel 以色列	Republic of Korea 韓國	United States 美國

對等司法管轄區包括以下三個國家/地區 Equivalent Jurisdictions comprise below 3 countries/jurisdictions.

British Virgin Islands (BVI) 英屬維爾京群島

Cayman Islands 開曼群島

Taiwan 台灣