申萬宏源香港
SHENWAN HONGYUAN

CLIENT'S PROFILE REVIEW FORM(CORPORATION)
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

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。

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:______________________________

Are the beneficial owners, directors or authorized persons of the client a Domestic/Foreign/International Organization Politically Exposed Person ("PEP") or its associate、terrorist or terrorist associate or sanctioned person? 客戶的受益人、董事或授權人士是否本地/外地/國際組織政治人物或其關聯者、恐怖分子或其關聯者、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. 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) Are 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，請說原因明: ______________________________

(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 是 : ______________________________

Please provide certified ID/Passport copy and certified Annual Return/Certificate of Incumbency
請提供已核證之身份證/護照証明及已核證之周年申報表/職權證明書

(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 是 : ______________________________

Please provide certified true copy of ID/Passport copy and certified Annual Return/Certificate of Incumbency
請提供已核證之身份證或護照証明及已核證之周年申報表/職權證明書及已核證之周年申報表/職權證明書

(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 是 : ______________________________

Please provide certified ID/Passport copy and certified Annual Return/Certificate of Incumbency
請提供已核證之身份證/護照証明及已核證之周年申報表/職權證明書

3. Financial Profile 財務概況

a) Net Asset Value 資產淨值

As of 截至 (Date 日期): ___________________________

☐ Below 低於 HK$1,000,000 ☐ HK$1,000,001 – HK$3,000,000 ☐ HK$3,000,001 – HK$8,000,000

☐ HK$8,000,001 – HK$40,000,000 ☐ HK$40,000,001 – HK$80,000,000 ☐ Above 高於 HK$80,000,000

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

☐ Below 低於 HK$200,000 ☐ HK$200,001 – HK$500,000 ☐ HK$500,001 – HK$1,000,000

☐ HK$1,000,001 – HK$3,000,000 ☐ HK$3,000,001 – HK$8,000,000 ☐ Above 高於 HK$8,000,000

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 the below 請再填寫下列)

(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)

Net Worth of Shareholder(s) 股東財富淨值 (in HKD 以港元計): _______________

Source of Wealth of Shareholder(s) 股東的財富來源:

☐ Salary 薪金

(*Please state 請列出 (i) company's name 公司名稱 ____

(ii) industry 行業__________________(iii) Average Annual Income 平均年度收入 (in HKD 以港 元計): _____________)

☐ Business Profit 個人業務收益 ☐ Investment Income 投資獲利 ☐ Pension 退休金

☐ Rental Income 租金收入 ☐ Inheritance/Gift 遺產繼承/餽贈

☐ Others 其他: _____________________________

☐ Business Income 業務收益 (Please fill in the below 請再填寫下列)

Average Annual Profit 平均年度利潤金額 (in HKD 以港元計): ______________________

☐ 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

☐ 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

☐ 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: ___________________________

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

Please provide information of SOF, some examples are listed below 請提供資金來源的資料:

☐ 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:______________)

<u>Additional Information (if any) 其他資料(如有)</u>

____

**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 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。*

7. 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 ☐ Sales Proceeds 銷售款項 ☐ Investment Income 投資獲利

☐ Financial Loan 財務借款 ☐ Others 其他: ____

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

☐ 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: ___________________________

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

☐ Below HK$ 50,000
低於 HK$ 50,000

☐ Between HK$ 50,001 to HK$ 250,000
由 HK$ 50,001 至 HK$ 250,000

☐ Between HK$ 250,001 to HK$ 500,000
由 HK$ 250,001 至 HK$ 500,000

☐ Above HK$ 500,00,
高於 HK$ 500,001

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 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

11. 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) (correctively, 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。

Signature of the Authorized Person 被授權人簽署 : ______________________________
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 3 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