更新客戶資料表格 (就業情況/財務狀況/投資經驗目標/身份聲明/直銷活動授權) - 適用於個人/聯名戶口

致: 申萬宏源證券(香港)有限公司
申萬宏源期貨(香港)有限公司

如客戶需更改(1) 姓名 (2) 國藉 (3) 身份證明文件，請親臨本公司分行辦理。有關更改之手續及所需文件/詳情，請聯絡您的客戶主任或致電本公司客戶服務部 (852) 2250-8298 查詢。

客戶填妥此表格後，請透過以下途徑遞交:
- ✧ **傳真**: (852) 3525 8451 / **電郵**: customer.service@swhyhk.com
- ✧ **郵寄**: **香港軒尼詩道 28 號 19 樓客戶服務部收**

客戶名稱 [戶口號碼] _____ [ ]

身份証/護照號碼 (如適用) _____

註： 請用正楷填寫所需更改資料，並在適當 ❑ 加上剔號。
在本申請表中，申萬宏源證券是指申萬宏源證券（香港）有限公司，而申萬宏源期貨則是指申萬宏源期貨（香港）有限公司。

就業概況	
就業狀況	❑ 自僱 ❑ 全職 ❑ 兼職 ❑ 學生 ❑ 主婦 ❑ 退休 ❑ 非在職
職業/職位	
僱主/自營業務/學校名稱	
僱主/公司	業務： ❑ 公用事業 ❑ 建築 ❑ 金融/保險 ❑ 出入口/批發 ❑ 法律 ❑ 通訊 ❑ 商用服務 ❑ 科學及資訊科技 ❑ 工程 ❑ 地產 ❑ 工會/組織活動 ❑ 娛樂 ❑ 運輸 ❑ 物流 ❑ 公共服務 ❑ 個人/家居服務 ❑ 醫療服務 ❑ 製造 ❑ 體育活動 ❑ 遊樂園及康樂活動 ❑ 工業 ❑ 教育 ❑ 旅遊 ❑ 酒店/旅館 ❑ 零售 ❑ 飲食 ❑ 慈善活動 ❑ 理髮及美容 ❑ 政府部門 ❑ 其他 (請說明):_____
投資經驗/目標	
投資經驗	❑ 股票：_____ 年 ❑ 認股證 (窩輪)：_____ 年 ❑ 期權：_____ 年 ❑ 期貨：_____ 年
投資目標 (可剔選多項)	❑ 收益 ❑ 增長 ❑ 投機 ❑ 其他：_____
財務狀況	
個人每年收入	❑ 低於 HK$300,000 ❑ HK$300,000 - HK$800,000 ❑ HK$800,001 - HK$1,200,000 ❑ 高於 HK$1,200,000
個人財富淨值	❑ 低於 1 百萬港元 ❑ 1 百萬港元至 8 百萬港元 ❑ 高於 8 百萬港元
資金來源	❑ 薪金/佣金 ❑ 儲蓄 ❑ 投資獲利 ❑ 售出物業 ❑ 個人業務 ❑ 其他 (請說明：_____)
財產來源	❑ 個人業務收益 ❑ 薪金/退休金 ❑ 投資獲利 ❑ 遺產繼承/餽贈 ❑ 其他 (請說明：_____)

身份聲明更新

你是否為帳戶的最終受益人 ？(帳戶的最終受益人是指收取交易中的商業或經濟利益及／或承擔其商業或經濟風險的人士或實體) 。

❑ 是 ❑ 否 [備註 1] 最終受益人名稱：_____ 關係：_____
備註 1: 最終受益人需提交補充文件。

你是否美國公民或居民 ？
❑ 否 ❑ 是 美國納稅人編號：_____
如屬美國公民或居民，你是否同意本公司每年向美國國稅局申報你的相關帳戶餘額、相關利息收入總額、股息收入及提取份額以及身份證明資料(如：姓名、地址、美國納稅人編號)？ ❑ 同意 ❑ 不同意

你及／或你的配偶、合夥人、子女或父母或近親是否屬「政治人物」一類人士 ？
(政治人物是指受託行使具重要公共職能的人士，包括國家元首、政府首長、資深從政者、國有企業的高級行政人員和重要 政黨的幹事；更詳細定義見《打擊洗錢及恐怖分子資金籌集 (金融機構) 條例》(香港法例第 615 章))。

❑ 否 ❑ 是 政治人物姓名： _____ 關係：_____

你是否任何上市公司的董事或大股東 ？
❑ 否 ❑ 是，本人是一名 ❑ 董事／ ❑ 大股東。 上市公司的名稱：_____

股權比例 (如適用)：_____

更新客戶資料表格 (就業情況/財務狀況/投資經驗目標/身份聲明/直銷活動授權) - 適用於個人/聯名戶口

身份聲明更新 (續)

你是否為香港證券及期貨事務監察委員會持牌法團或註冊法團的持牌／註冊人士、僱員或董事 ?

❑ 否 ❑ 是 持牌／註冊法團名稱：_____

你是否為申萬宏源證券／申萬宏源期貨或其控權公司或其控權公司的任何附屬公司的僱員或董事，或申萬宏源證券／申萬宏源期貨或其控權公司或其控權公司的任何附屬公司的任何僱員或董事的親屬 ?

❑ 否 ❑ 是 董事／僱員姓名：_____ 關係：_____

(僅適用於保證金帳戶)
你的配偶是否在申萬宏源證券持有保證金帳戶 ?

❑ 不適用 ❑ 否 ❑ 是 配偶姓名：_____ 身份證號碼：_____ 帳號：_____

(僅適用於保證金帳戶)
你 (或聯同你的配偶) 是否控制 (或共同控制) 申萬宏源證券的其他公司保證金帳戶客戶 35% 或以上的表決權 ?

❑ 否 ❑ 是 保證金帳戶客戶名稱：_____

直銷活動授權

❑ 本人**同意**申萬宏源證券、申萬宏源期貨及其集團公司在直銷活動過程中使用本人的個人資料。
❑ 本人**不同意**申萬宏源證券、申萬宏源期貨及其集團公司在直銷活動過程中使用本人的個人資料。
以上內容代表本人是否同意貴公司就直銷活動與本人聯絡或向本人發送相關資訊的目前意願。以上內容將取代本人在遞交本申請前通知申萬宏源證券、申萬宏源期貨的一切原先決定。
上述最新決定同時適用於有關《個人資料 (私隱) 條例》 (香港法例第 486 章) 的申萬宏源（香港）有限公司及其附屬公司政策聲明 (連同相關條款及細則一併提供) 中所述的各類直銷產品及服務。本人亦應參考政策聲明中有關直銷活動過程中可能使用的個人資料類別。

請將上列更改更新至所有本人 / 吾等在貴公司及/或申萬宏源集團其他成員公司開立的戶口。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。

_____ _____
戶口持有人簽署 (如個人或聯名客戶) 日期

只供內部使用	
RO approval on waiving original:	

S.V.

_____ _____
Input by Approved by

CHANGE OF CLIENT DATA FORM (Employment Status / Financial Status/ Investment Experience and Target / Identity Declaration/ Direct Marketing Authorisation) – For Individual / Joint Account

To: Shenwan Hongyuan Securities (H.K.) Limited
Shenwan Hongyuan Futures (H.K.) Limited

For the change of (1) Name (2) Nationality or (3) Identity Documents, please visit our branches to process the update. For more information, please contact your account executive or reach our customer service hotline at (852) 2250-8298.

Please complete and submit the Form to us by:
- ✧ Fax: (852) 3525 8451 / Email: customer.service@swhyhk.com
- ✧ Mail: Unit B&C, 24/F, United Centre, 95 Queensway, Admiralty, Hong Kong (Attn: Customer Service Department)

Name of A/C Holder(s) [A/C No.] _____ [ ]

ID/Passport No. (if applicable) _____

Note： Please complete the part(s) to be changed only in BLOCK LETTERS and tick ❑ where applicable.
In this form, SWHYS shall mean Shenwan Hongyuan Securities (H.K.) Limited and SWHYF shall mean Shenwan Hongyuan Futures (H.K.) Limited.

Employment Status	
Employment Status	❑ Self Employed ❑ Full-time Employed ❑ Part-time Employed ❑ Student ❑ Housewife ❑ Retired ❑ Not Currently Employed
Occupation / Position	
Name of Employer / Self-owned Business / Institution	
Employer/Business	Industry: ❑ Utilities ❑ Construction ❑ Finance/Insurance ❑ Import/Export/Wholesale ❑ Legal ❑ Communications ❑ Business Services ❑ Science & Technology ❑ Engineering ❑ Real Estate ❑ Union & Organizations ❑ Leisure & Entertainment ❑ Transport ❑ Logistics ❑ Public Services ❑ Personal & Household Services ❑ Health Care ❑ Manufacturing ❑ Sports Activities ❑ Amusement & Recreation Services ❑ Industrial ❑ Education ❑ Travel & Tourism ❑ Hotel/Boarding Houses ❑ Retail ❑ Restaurants ❑ Charity (non Govt Bodies) ❑ Hairdressing & Beauty ❑ Government Sector ❑ Others (please specify):_____
Investment Experience / Objectives	
Investment Experience	❑ Stock: _____ year(s) ❑ Warrants: _____year(s) ❑ Options: _____ year(s) ❑ Futures: _____ year(s)
Investment Objectives (More than one option can be chosen)	❑ Income ❑ Growth ❑ Speculation ❑ Others: _____
Financial Status	
Personal Annual Income	❑ Below HK$300,000 ❑ HK$300,000 - HK$800,000 ❑ HK$800,001 – HK$1,200,000 ❑ Above HK$1,200,000
Personal Net Worth	❑ Below HK$1 million ❑ HK$1 million - HK$8 million ❑ Above HK$8 million
Sources of Funds	❑ Salary / Commission ❑ Savings ❑ Investment Income ❑ Sale of real estate ❑ Own Business ❑ Others (Please specify:)_____
Source(s) of Wealth	❑ Business Income ❑ Salary/Pension ❑ Investment Income ❑ Inheritance/Gift ❑ Others (Please specify:)_____

Identity Declaration

Are you the ultimate beneficiary of the Account?(Ultimate beneficiary of the Account means the person or entity that stands to gain the commercial or economic benefit of a transaction and/or bear its commercial or economic risk).

❑ Yes ❑ No [Note 1] Name of ultimate beneficiary: _____ Relationship:_____

Note 1: Ultimate beneficiary is required to submit additional supplementary document(s).

Are you a U.S. citizen or resident?
❑ No ❑ Yes U.S. Taxpayer ID No.:_____

If Yes, do you consent for us to report your relevant account balance, gross amounts of relevant interest incomes, dividend incomes and withdrawals, and identification details (e.g. name, address, the U.S. Taxpayer ID No.) to U.S. Internal Revenue Service annually?
❑ Yes ❑ No

CHANGE OF CLIENT DATA FORM (Employment Status / Financial Status/ Investment Experience and Target / Identity Declaration/ Direct Marketing Authorisation) – For Individual / Joint Account

Identity Declaration (Continued)

Are you and/or your spouse, partner, children or parents or close associates a Politically Exposed Person ("PEP")?
(PEP refers to a person entrusted with a prominent public function including a head of state, head of government, senior politician, senior executive of a state-owned corporation and an important political party official, which is more specifically defined under the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance (Cap. 615 of the Laws of Hong Kong)).

❑ No ❑ Yes Name of PEP: _____Relationship:_____

Are you a director or substantial shareholder of any listed company?
❑ No ❑ Yes, I am a ❑ director / ❑ substantial shareholder. Name of listed company:_____

Shareholding (if applicable):_____

Are you a licensed/registered person or employee/director of a corporation licensed/registered with the Securities and Futures Commission of Hong Kong ("SFC")?
❑ No ❑ Yes Name of licensed/registered corporation:_____

Are you an employee or director of SWHYS/SWHYF or its holding company or any of the subsidiaries of the holding company or a relative of any director or employee of SWHYS/SWHYF or its holding company or any of the subsidiaries of the holding company?

❑ No ❑ Yes Name of director/employee:_____ Relationship:_____

(For Margin Account Only)
Does your spouse have a margin account with SWHYS?

❑ N/A ❑ No ❑ Yes Name of spouse:_____ ID no.:_____ Account no.:_____

(For Margin Account Only)
Do you or together with your spouse control 35% or more of the voting rights of another corporate margin account client of SWHYS?

❑ No ❑ Yes Name of margin account client:_____

Direct Marketing Authorisation

❑ I **DO** consent for SWHYS , SWHYF and their Group Companies to use my personal data in direct marketing
❑ I **DO NOT** consent for SWHYS , SWHYF and their Group Companies to use my personal data in direct marketing
The above represents my present choice whether or not to receive direct marketing contact or information. This replaces any choice communicated by me to the SWHYS , SWHYF prior to this Application. My above choice applies to the direct marketing of the classes of products and services as set out in the Shenwan Hongyuan (H.K.) Limited and its subsidiaries' policy statement relating to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong), provided together with relevant Terms and Conditions. I should also refer to the policy statement on the kinds of personal data which may be used in direct marketing.

Please update the above change(s) to the records of all the account(s) maintained with the Company and / or other member company of the Shenwan Hongyuan Group under the Name of Account Holder(s) 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.

_____ _____
Signature(s) of A/C Holder(s) (For Individual or Joint A/C) Date

For Office Use Only

RO Approval on waiving original:	

S.V.

_____ _____
Input by Approved by