

- 東吳證券國際經紀有限公司 Soochow Securities International Brokerage Limited
- 東吳證券國際期貨有限公司 Soochow Securities International Futures Limited

客戶資料複查表格 (公司帳戶)

Client Information Review Form (Corporate Account)

客戶名稱 A/C Name: _____ 帳戶號碼 A/C No.: _____

1. 公司資料 Corporate Information

- 更改註冊/營業/通訊地址 Change of Registration Address/Business Address/ Correspondence Address*

註冊地址 Registration Address: _____

營業地址 Business Address: _____

通訊地址 Correspondence Address: _____

(請提供三個月內的有效地址證明文件 Please provide proof of address within the last 3 months)

- 更改聯絡資料 Change of Contact Information

辦公室電話號碼(1) Office Tel. No. (1): _____	辦公室電話號碼(2) Office Tel. No. (2): _____
聯絡人姓名 (1) Name of Contact Person (1) _____	聯絡人姓名 (2) Name of Contact Person (2) _____
聯絡人電話 (1) Phone of Contact Person (1) _____	聯絡人電話 (2) Phone of Contact Person (2) _____
傳真號碼 Fax No.: _____	電郵地址 E-mail Address: _____

- 更改股東資料 Change of Shareholder(s) Information

股東資料 (持有百分之二十五以上股權) Shareholder(s) Information (shareholdings above 25%)				
股東名稱 Shareholder Name	身份證/護照/註冊證書/ 商業登記證號碼及簽發國家 ID Card / Passport / CI / BR No. and Issuing Country	股東現時住址/現時地址 Shareholder Current Residential Address/ Current Address	聯絡電話 Contact No.	持股百分比 shareholdings %

- 更改董事資料 Change of Director(s) Information

董事資料 Director(s) Information			
董事名稱 Director Name	身份證/護照/註冊證書/ 商業登記證號碼及簽發國家 ID Card / Passport / CI / BR No. and Issuing Country	董事現時住址/現時地址 Director Current Residential Address/ Current Address	聯絡電話 Contact No.

- 更改獲授權人士資料 Change of Authorized Person(s) Information

獲授權人士資料 Authorized Person(s) Information			
獲授權人士姓名 Authorized Person Name	身份證/護照號碼及簽發國家 ID Card / Passport No. and Issuing Country	現時住址 Current Residential Address/	聯絡電話 Contact No.

- 更改最終受益人資料 Change of Ultimate Beneficial Owner Information

最終受益人資料 Ultimate Beneficial Owner Information			
最終受益人姓名 Ultimate Beneficial Owner Name	身份證/護照號碼及簽發國家 ID Card / Passport No. and Issuing Country	現時住址 Current Residential Address/	聯絡電話 Contact No.

更改銀行帳戶資料 Change of Bank Account Details

銀行名稱 Bank Name: _____

銀行帳戶號碼 Bank Account No.: _____

其他更新 Other Changes: _____

帳戶資料不變 No change in account information

2. 財務及投資概況 Financial and Investment Information

最近的除稅後盈利(HK\$) The Latest Audited Profit After Tax	<input type="checkbox"/> < 1,000,000	收入來源 Source of Income	<input type="checkbox"/> 股東資金 Shareholders Fund
	<input type="checkbox"/> 1,000,001 – 5,000,000		<input type="checkbox"/> 股東貸款 Shareholders Loan
	<input type="checkbox"/> 5,000,001 – 10,000,000		<input type="checkbox"/> 投資收入 Investment Return
	<input type="checkbox"/> 10,000,001 – 15,000,000		<input type="checkbox"/> 業務收益 Business profit
	<input type="checkbox"/> 15,000,001 – 20,000,000		<input type="checkbox"/> 對外借貸 Borrowing/Loans
	<input type="checkbox"/> > 20,000,000		<input type="checkbox"/> 其他 Others: _____
最近經審計的資產淨值(HK\$) The Latest Audited Net Asset Value	<input type="checkbox"/> < 5,000,000	投資目的及可承受風險 Investment Goals & Risk Tolerance	<input type="checkbox"/> 保本(低風險) Capital Preservation (Low Risk)
	<input type="checkbox"/> 5,000,001 – 10,000,000		<input type="checkbox"/> 資本增值(低至中風險) Capital Growth (Low to Med. Risk)
	<input type="checkbox"/> 10,000,001 – 15,000,000		<input type="checkbox"/> 股息回報(低至中風險) Dividend Yield (Low to Med. Risk)
	<input type="checkbox"/> 15,000,001 – 20,000,000		<input type="checkbox"/> 對沖(高風險) Hedging (High Risk)
	<input type="checkbox"/> 20,000,001 – 25,000,000		<input type="checkbox"/> 套利(高風險) Arbitrage (High Risk)
	<input type="checkbox"/> > 25,000,000		<input type="checkbox"/> 投機(高風險) Speculation (High Risk)
資產項目: Asset Items:	<input type="checkbox"/> 房地產 Property <input type="checkbox"/> 上市證券 Listed Securities <input type="checkbox"/> 非上市證券 Unlisted Securities <input type="checkbox"/> 存款 Deposits <input type="checkbox"/> 債券 Bonds <input type="checkbox"/> 基金 Fund <input type="checkbox"/> 其他 Others: _____		

3. 帳戶交易資料 Account Transaction Information

預計用作投資的金額 Estimated Amount for Investment at Account Opening	
<input type="checkbox"/>	Less than or equal to HK\$2,000,000 或以下
<input type="checkbox"/>	HK\$2,000,001 – HK\$5,000,000
<input type="checkbox"/>	HK\$5,000,001 – HK\$10,000,000
<input type="checkbox"/>	HK\$10,000,001 – HK\$20,000,000
<input type="checkbox"/>	Above HK\$20,000,000 以上
預期每月帳戶交易筆數 Approximate Account Transaction Frequency Per Month	
<input type="checkbox"/>	≤ 100 <input type="checkbox"/> 101 – 300 <input type="checkbox"/> 301 – 500 <input type="checkbox"/> 501 – 1000 <input type="checkbox"/> > 1000

備註:

1. 請提交更改事項的有效證明文件。 Please provide the appropriate document(s) for the change.

2. 如客戶的註冊國家、稅務居民資格或地址有所改變，請客戶重新填寫 W-8BEN-E 表格及自我證明表格。

W-8BEN-E Form and Self-Certification Form would be required if any change in the country of incorporation, tax residency status or address of the Client.

3. 請刪去不適用者。 Please delete whichever is inapplicable.

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授權人簽署並蓋公司印章(如適用)

Authorized Signature(s) with Company Chop (if applicable)

姓名:

Name:

職銜/職位

Title/Position:.

日期:

Date: