



Update of Client's Information

客戶資料更新

In order to provide you better service and to comply with legal and regulatory requirements, we would like to have your update on customer information regularly and/ or occasionally. We will assume there is no change to your relevant information if a question of below is not answered. 為了提供更優質的服務及遵從適用法律及規管性之規定，我們希望得到閣下定期及/或不時的客戶資料更新。如以下個別問題未有提供資料，我們會視閣下有關資料並沒更改。

Account Name 賬戶名稱: _____ Account No: 賬戶號碼: _____

1	通訊資料 CONTACT INFORMATION	
電話: Telephone Number	新增 Add / 更換 Change (請刪去不適用者 please delete as appropriate) (國家區號)手提電話號碼(Country Code) Mobile Phone No: (_____) _____ (國家區號)住宅電話號碼(Country Code) Residential Tel No: (_____) _____	
電郵: E-mail	新增 Add/ 更換 Change (請刪去不適用者 please delete as appropriate)	
通訊地址*#Correspondence Address		
Statement and general correspondence sent to (please tick one only) 接收結單和一般函件方式(請僅選擇其一): <input type="checkbox"/> E-mail 電郵 <input type="checkbox"/> Residential Address 住宅地址 (HKD\$30 per month will be deducted from your account 每月從帳戶扣取港幣 \$30 費用) <input type="checkbox"/> Correspondence Address 通訊地址 (HKD\$30 per month will be deducted from your account 每月從帳戶扣取港幣 \$30 費用)		
2	銀行帳戶資料 BANK ACCOUNT DETAILS	
新增 Add/ 更換 Change (請刪去不適用者 please delete as appropriate)*#		
銀行名稱 Bank Name		
分行名稱 Branch Name		
SWIFT Code		
帳戶持有人名稱 Account Holder's Name		
賬戶號碼 Account Number		
貨幣 Currency		
3	EMPLOYMENT INFORMATION 工作資料 (Please tick appropriate box 請在適當空格加✓)	
Employment Status 工作狀況: <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-Employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Housewife 主婦 <input type="checkbox"/> Others (please specify) 其他 (請註明):		
Company Name 公司名稱:		Position 職位:
Nature of Business 業務性質:	Office Telephone 辦公室電話:	Years of Service 服務年期:
Company Address 公司地址:		

4	FINANCIAL INFORMATION AND INVESTMENT EXPERIENCE 財務資料及投資經驗 (Please tick appropriate box 請在適當空格加✓)		
Annual Income (HK\$) 年收入(港幣): <input type="checkbox"/> < \$200,000 <input type="checkbox"/> \$200,000 - \$500,000 <input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> > \$10,000,000			
Net Worth (HK\$) 淨資產(港幣): <input type="checkbox"/> < \$500,000 <input type="checkbox"/> \$500,000 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001- \$10,000,000 <input type="checkbox"/> > \$10,000,000			
Investable Current Assets (HK\$) 可用作投資的流動資產(港幣): <input type="checkbox"/> < \$1,000,000 <input type="checkbox"/> \$1,000,000 - \$5,000,000 <input type="checkbox"/> \$5,000,000 - \$10,000,000 <input type="checkbox"/> > \$10,000,000			
House Ownership 住屋業權: <input type="checkbox"/> Own 擁有 <input type="checkbox"/> Mortgaged 已抵押 <input type="checkbox"/> Rent 租住 <input type="checkbox"/> Dormitory 宿舍 <input type="checkbox"/> Living with family 與家人同住 <input type="checkbox"/> Others (please specify) 其他 (請註明):			
Source of Funds 資金來源: <input type="checkbox"/> Salary / Commissions 薪俸/佣金 <input type="checkbox"/> Business Income 營業收入 <input type="checkbox"/> Investment Return 投資收益 <input type="checkbox"/> Rental Income 租金 <input type="checkbox"/> Sale of Property / Assets 出售物業/資產 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Inheritance 遺產 <input type="checkbox"/> Others (please specify) 其他 (請註明):			
Ongoing Source of Wealth or Income 持續的財富及收入來源: <input type="checkbox"/> Salary / Commissions 薪俸/佣金 <input type="checkbox"/> Business Income 營業收入 <input type="checkbox"/> Investment Return 投資收益 <input type="checkbox"/> Rental Income 租金 <input type="checkbox"/> Sale of Property / Assets 出售物業/資產 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Inheritance 遺產 <input type="checkbox"/> Others, please specify 其他, 請註明:			
Investment Objective 投資目標: <input type="checkbox"/> Capital Preservation 保本 <input type="checkbox"/> Capital Growth 資本增值 <input type="checkbox"/> Dividend 股息 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Others (please specify) 其他 (請註明):			
Investment Experience 投資經驗:			
Hong Kong Stocks 香港上市股票	Year(s) 年	Hong Kong Futures 香港期貨和期權	Year(s) 年
A Share A 股	Year(s) 年	Hong Kong Options 香港期權	Year(s) 年
Overseas Stocks 海外股票	Year(s) 年	Funds 基金	Year(s) 年
FX / Commodities 外匯 / 商品	Year(s) 年	Bonds 債券	Year(s) 年
Others, please identify 其他, 請註明:	Year(s) 年	Bullion 金銀	Year(s) 年
A. Do you need to trade structured or derivatives products? 您是否需要投資結構性或衍生產品? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 B. Do you ever have any trading experience in Structured or Derivatives Product(s)? 您以往曾否有買賣結構性或衍生投資產品? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 If Yes, please state the Structured or Derivatives Products you traded. 如是, 請提供您以往有買賣的結構性或衍生投資產品:			
Structured or Derivatives Products 結構性或衍生投資產品	Trading experience (If yes, please tick appropriate box.) 交易/投資經驗 (如有, 請在空格加✓)	Structured or Derivatives Products 結構性或衍生投資產品	Trading experience (If yes, please tick appropriate box.) 交易/投資經驗 (如有, 請在空格加✓)
Callable Bull / Bear Contracts 牛熊證	<input type="checkbox"/>	Futures and Options 期貨或期權合約交易	<input type="checkbox"/>
Derivatives Warrants 衍生權證 (窩輪)	<input type="checkbox"/>	Rights 供股權	<input type="checkbox"/>
Equity Linked Instruments / Notes 股票掛鉤產品/票據	<input type="checkbox"/>	Stock Options 股票期權	<input type="checkbox"/>
Exchange Traded Convertible Bonds 交易所買賣換股債券	<input type="checkbox"/>	Exchange Traded Funds 交易所買賣基金	<input type="checkbox"/>

Others 其他	please identify: 請註明: _____
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Have you executed five or more transactions in derivative products within the past three years?

您曾否在以往三年內執行過五宗或以上結構性或衍生產品交易？

- ☐ Yes 是
☐ No 不是

Have you ever undergone training or attended courses or seminars on structured or derivatives product(s)?

您以往是否曾接受有關結構性或衍生產品的培訓或修讀相關課程？

- ☐ No 否
☐ Yes, I have attended the following training / courses / seminars 是,本人過往曾接受培訓或修讀以下課程：

Name of Training / Courses / Seminars 課程名稱	Date 受培訓或修讀日期
1)	
2)	

Do you have current or previous work experience related to structured or derivatives product(s)?

您現在或以往的工作經驗是否與結構性或衍生產品相關？

- ☐ No 否
☐ Yes, please specify 有,請註明：

Employer's Name 僱主名稱	Department 部門	Title 職位	Date of Employed 受聘日期
1)			
2)			

5 OTHER DISCLOSURES 其他資料披露 (Please tick appropriate box 請在適當空格加√)

A. Are you the ultimate beneficial owner in relation to the account? 您是否為帳戶的最終權益擁有人？

- ☐ Yes 是
☐ No 否 (Please provide details with supporting documents of the ultimate beneficial owner 請填寫最終權益擁有人資訊及附上有關文件:)

Chinese Name 中文姓名		English Name 英文姓名	
ID Card / Passport Number 身份證/護照號碼		ID Card / Passport Issue Country 身份證/護照簽發國家	
Date of Birth 出生日期		Country of Birth 出生國家	
Residential Address 住宅地址			
(Country Code) Home Phone Number (國家區號)住宅電話號碼		(Country Code) Mobile Phone Number (國家區號)手提電話號碼	
Relationship with the you and reasons (if any) 與您的關係及原因 (如有):			

B. Are you the person ultimately responsible for originating instructions for the account? 您是否向帳戶最終負責發出指示的人士？

☐ Yes 是

☐ No, please specify the person ultimately responsible for originating instructions for the account is 否, 請註明最終負責向帳戶發出指示的人士：

Chinese Name 中文姓名		English Name 英文姓名	
ID Card / Passport Number 身份證/護照號碼		ID Card / Passport Issue Country 身份證/護照簽發國家	
Date of Birth 出生日期		Country of Birth 出生國家	
Residential Address 住宅地址			
(Country Code) Home Phone Number (國家區號)住宅電話號碼		(Country Code) Mobile Phone Number (國家區號)手提電話號碼	

C. Are you an employee or director of JMC or related to any employee or director of JMC? 您是否富喬鑫之僱員或董事或與富喬鑫之任何僱員或董事有親屬關係？

☐ No 否

☐ Yes, please provide the category of the relationship 是，請您填寫關係類別：

Name of Employee or Director 僱員或董事姓名	Category of the Relationship (such as father and son, mother and son) 關係類別 (例如父子, 母子)

D. Have you or your related person opened another account with JMC? 您或您的關連人士是否在富喬鑫開立了其他帳戶？

The definition of Related Person is (a) your spouse or domestic partner, dependent children or stepchildren, parents; (b) any company or partnership in which you and the person described in (a), directly or indirectly, hold 20% or more of the voting rights or capital of the company or partnership; (c) the trustee of a trust of which you and the person described in (a) is a beneficiary or a discretionary object; or (d) another person accustomed or obliged to act in accordance with the directions or instructions of you. 關連人士定義: (a) 您的配偶, 供養子女或繼子女, 父母; (b) 您或(a)項中的人士直接或間接持有百分之二十或以上之股權或投票權之公司或合夥; (c) 您或(a)項中的人士是信託受益人或全權信託物件的信託; 或 (d) 其他慣常或必要遵從您的指示或指令行事的人。

☐ No 否

☐ Yes, please provide the account information 是，請您填寫帳戶資訊：

Account Owner 帳戶持有人	Account Number 帳號	Relationship 關係
1)		
2)		

E. Have you and/or your spouse, partner, children, parents, spouse or partner of your children or close associates been entrusted with prominent public function in any place, e.g. head of state or government, senior politician, senior government, judicial or military official, senior executive of a state owned corporation, important political party official ("politically exposed person" as defined under the the Anti-Money Laundering and Counter-Terrorist Financing Ordinance)? 您及/或您的配偶, 伴侶, 子女或父母, 你子女的配偶或伴侶, 或與你關係密切的人是否在任何地方擔任或曾擔任重要公職, 例如國家或政府元首, 資深從政者, 高級政府, 司法, 或軍事官員, 與有企業高級行政人員或重要政黨幹事 ("政治人物" 定義詳見《打擊洗錢及恐怖分子資金籌集條例》 (打擊洗錢條例))?

☐ No 否

☐ Yes, please specify 是，請述明

Name of PEP 政治人物姓名	Position of PEP 政治人物職位	Country the PEP belongs 政治人物所屬國家	PEP relationship with you 政治人物與你之關係

F. Has your spouse established and maintained a margin account with JMC Capital HK Limited? 您的配偶有否在富喬鑫資本(香港)有限公司設立保證金帳戶?

☐ No 否

☐ Yes, please specify 是，請述明

Account Name 帳名	Account Number 帳號
1)	
2)	

G. Is the client or his authorized person a director, employee or major shareholder of any listed company? 您或您授權人是否任何上市公司的董事/雇員/大股東?

☐ No 否

☐ Yes, please provide the name of the listed company and the place of listing 請提供上市公司的名稱和上市地點：

Name of the listed company: _____
上市公司的名稱

Place of listing: _____
上市地點

* 請提供證明文件 Please provide supporting documents

請提供客戶簽署 Please provide client signature.

Customer Acknowledgement 客戶確認

I, the undersigned, confirm that all the information provided in or otherwise in connection with this Update is, and in respect of any information provided hereafter, shall be, at the time of provision, true, accurate, complete and up-to-date and in compliance with all applicable legal and regulatory requirements. I undertake to notify JMC immediately in writing of any change(s) to any of the aforesaid information. 本人，即以下簽署人，確認本人現時及其後於此或與其有關所提供之資料皆為真實、準確、完整、最新及遵從所有適用法律及規管性之規定。如所提供的資料有任何更改，本人承諾立即通知富喬鑫。

Agreed by the undersigned 同意並簽署如下

客戶簽署 Client's signature

日期 Date (DD/MM/YY)

For official use only		
Input By	Checked By	Approved By