



南華證券投資有限公司 South China Securities Limited
南華期貨有限公司 South China Commodities Limited
南華投資管理有限公司 South China Investment Management Limited

AE Code
經紀號碼

申請日期 Application Date: _____

客戶資料更新表格 Client Information Update Form

- ☐ 南華證券投資有限公司 South China Securities Limited ☐ 南華投資管理有限公司 South China Investment Management Limited
☐ 南華期貨有限公司 South China Commodities Limited

指示：如客戶資料需要更新，請於方格內填上☑，並提供及填寫需要更新的資料，及於本表格底部簽署作實

Instructions: If the Client information is required to update, please fill in ☑, provide and complete the relevant update information, and indicate your signature at the bottom of this Form

Name of Client:

客戶名稱:

Account No.:

賬戶號碼:

☐ 個人資料 Personal Information

- ☐ 身份證明文件 ID Document: _____ (備註: 需附上相關身份證明文件核實 Note: ID Document proof is required for verification)
☐ 電話號碼 Telephone Number
住宅 Home: _____ 手提 Mobile: _____ 辦公室 Office: _____
☐ 住宅地址 Residential Address: _____
(備註: 需附上最近三個月內之地址證明 Note: An address proof issued within the past 3 months is required)
☐ 電郵地址 Email Address: _____

☐ 工作及/或職業性質 Work and/or Occupation Nature:

僱主名稱 Name of Employer: _____
工作或商業地址 Work or Business Address: _____
職業或業務性質 Occupation/Business Nature: _____
職位 Position: _____ 任職年期 Year(s) Employed: _____

☐ 銀行戶口 Bank Account

貨幣 Currency: _____ 銀行名稱 Bank Name: _____ 賬戶號碼 Account No.: _____

☐ 財務資料 Financial Information:

估計年薪 Estimated Annual Income:	<input type="checkbox"/> <HK\$200,000 <input type="checkbox"/> HK\$200,000 - HK\$500,000 <input type="checkbox"/> HK\$500,001 - HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 - HK\$5,000,000 <input type="checkbox"/> > HK\$5,000,001	估計淨資產 Estimated Liquid Net Worth:	<input type="checkbox"/> <HK\$200,000 <input type="checkbox"/> HK\$200,000 - HK\$500,000 <input type="checkbox"/> HK\$500,001 - HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 - HK\$5,000,000 <input type="checkbox"/> > HK\$5,000,001
住屋 Residence:	<input type="checkbox"/> Self-owned 自置物業 <input type="checkbox"/> Mortgage 按揭物業 <input type="checkbox"/> Rented 租用物業 <input type="checkbox"/> Living with Family 與家人同住	財產來源 Source of Property:	<input type="checkbox"/> HKSAR 香港特別行政區 <input type="checkbox"/> China 中國 <input type="checkbox"/> Others 其他: _____
資金來源 Source of Fund:	<input type="checkbox"/> Salary/ Commission 薪金/ 佣金 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Investment Income 投資獲利 <input type="checkbox"/> Sale of Real Estate 售出物業 <input type="checkbox"/> Own Business 個人業務 <input type="checkbox"/> Others 其他: _____	財富來源 Source of Wealth:	<input type="checkbox"/> Business Income 個人業務收益 <input type="checkbox"/> Salary/ Pension 薪金/退休金 <input type="checkbox"/> Investment Income 投資獲利 <input type="checkbox"/> Inheritance/ Gift 遺囑繼承/饋贈 <input type="checkbox"/> Own Business 個人業務 <input type="checkbox"/> Others 其他: _____

☐ 預計每月交易概況 Anticipated Level of Investments per Month:

預計投資產品 Anticipated Investment Products:

- ☐ Stocks 證券 ☐ Options 期權 ☐ Futures 期貨 ☐ Derivative Products 衍生產品 ☐ A-shares through China Connect A 股交易
☐ Others 其他: _____

預計每月交易次數 Anticipated Number of Transactions Per Month:	<input type="checkbox"/> < 20 <input type="checkbox"/> 20-50 <input type="checkbox"/> > 50	預計每月交易金額 Anticipated Amount of Transactions Per Month:	<input type="checkbox"/> <HK\$50,000 <input type="checkbox"/> HK\$50,001 - HK\$100,000 <input type="checkbox"/> HK\$100,001 - HK\$250,000 <input type="checkbox"/> HK\$250,001 - HK\$500,000 <input type="checkbox"/> HK\$500,001 - HK\$2,000,000 <input type="checkbox"/> >HK\$2,000,001
---	--	---	--



☐ **身份聲明 Identity Declaration:**

客戶、客戶之配偶、伴侶、子女或父母，或客戶的子女的配偶或伴侶，或與客戶關係密切的人，是否擔任或曾擔任重要公職，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？Is the Client, his/her spouse, partner, child, parent or, spouse or partner of his child or, a close associate of the Client entrusted or has been entrusted with a prominent public function, including a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and important political party official?

☐ No 否 ☐ Yes, please specify 是，請說明 _____

☐ **相關保證金帳戶 Related Margin Account(s) (Note: For Margin Account only):**

	No 否	Yes 是	Account No. 帳戶號碼	Name of Account Holder 帳戶持有人姓名
客戶的配偶是否持有本公司任何相關保證金帳戶？ Does spouse of the Client maintain any related margin account of our company?	<input type="checkbox"/>	<input type="checkbox"/>		
客戶及/或其配偶是否單獨或共同控制本公司之其他保證金帳戶 35%或以上之表決權？ Do the Client alone or jointly with his/her spouse control 35% or more of the voting rights of another financing margin account with our company?	<input type="checkbox"/>	<input type="checkbox"/>		
客戶有否以公司名義於本公司開立保證金帳戶，而該公司以客戶作為受益人？ Are there any margin accounts opened by the company which is owned by the Client?	<input type="checkbox"/>	<input type="checkbox"/>		
Are you and/or any of the ultimate beneficial owner(s) of the Account related to any employee or director of South China Financial Holdings Limited or any of its subsidiaries or associated companies? 客戶及/或任何之最終帳戶受益人是否與南華金融控股有限公司及其附屬或聯營公司之僱員/董事有任何關係嗎？	<input type="checkbox"/>	<input type="checkbox"/>	Name of the employee or director 僱員/董事姓名： Relationship 關係：	
Are you a senior officer/director or in control of company listed on any exchange / market? 客戶是否任何其股份可在交易所/市場的公司之高級職員/董事？	<input type="checkbox"/>	<input type="checkbox"/>	Company Name 公司名稱： Position 職位：	

客戶聲明 Client's Declaration

客戶茲聲明在此表格提供的更新資料是真實、完整和正確的。除非接到更改有關聲明內容的書面通知，否則本公司有權在任何用途上完全依賴這些更新資料及聲明，客戶承諾若此資料有任何修改，會以書面通知本公司。客戶同時宣稱客戶本人是該賬戶的最終受益擁有人。本公司有絕對權利不時修訂、刪除、或取替客戶協議內的任何條款或增加新條款，並把修訂通知及修改後之客戶協議刊載於本公司網站 www.sctrade.com 內。本公司會通知客戶新的修訂，而客戶可不時登入本公司網站以獲得最新之客戶協議並需細閱其條款。該修訂、刪除、取替或增加的條款將於本公司網站刊載修訂通知當日生效，並被視為納入客戶協議內。客戶可于修訂通知在本公司網站上刊載當日後十四天內以書面向本公司提出反對。否則被視為接受該修訂、刪除、取替或增加的條款。

The Client hereby declares that the above updated information provided is true, complete and correct. Our company is entitled to rely entirely upon such update information and representations for all purpose, unless receive notice in writing from the Client of any change thereof. The Client hereby undertakes to notify our Company in writing forthwith upon any material change(s) in the information provided herein. The Client also declares that he/she is the ultimate beneficial owner of the account. Our company shall have absolute rights to amend, delete or substitute any of the terms herein or add new terms to the Client's Agreement. An amendment notice and the revised Client's Agreement will be posted at our company's website at www.sctrade.com. In addition, our company will notify the Client on such revision. Client should visit our company's website from time to time for obtaining the latest Client's Agreement and read the terms thereof. Such amendment, deletion, substitution or addition shall be deemed as effective and incorporated herein (and shall form part of the Client's Agreement) on the date of publication of such amendment notice. Client may raise written objection within fourteen (14) days after the publication of such amendment notice at our company's website. Failing which, shall be deemed as an acceptance of such amendment, deletion, substitution or addition.

客戶簽署 Client's Signature:

日期 Date:

只供本行使用 Office Use Only

A.E Signature: _____

Department Head Signature: _____

Client's information checked by: _____

Credit Manager Signature: _____