

Client Information Update
客戶資料更新表

(Individual / Joint Account)
(個人／聯名戶口)

In order to serve you better and to comply with applicable legal and regulatory requirements, we would like to update your client record with Kingsway Financial Services Group Limited. Please complete this form and return the completed form to us either by facsimile at (852) 2877-1026 or by mail to Kingsway Financial Services Group Limited, 7/F., Tower One, 89 Queensway, Hong Kong (Attn: Operations Department).

為提供更優質的服務及遵守適用法律及規管性之規定，我們想更新您與滙富金融服務有限公司的客戶記錄。懇請閣下填妥以下表格，並將已填妥之表格傳真至(852) 2877-1026 或郵遞至香港金鐘道 89 號力寶中心一座七樓，滙富金融服務有限公司營運部。

If you have any questions, please contact your Account Executive or our Operations Department (852) 2283-7373
如有任何查詢，請聯絡閣下的客戶主任或致電我們的營運部 (852) 2283-7373。

INDIVIDUAL/JOINT ACCOUNT 個人/聯名戶口

Account Holder Name 帳戶持有人姓名：_____ Account No(s). 帳戶編號：_____ (the "Account(s)")
Account Executive 客戶主任：_____

SECTION I 第一部分: Personal Information 客戶個人資料

Has there been any change to your personal particulars 閣下之個人資料是否有改變？

☐ Yes 是 → Please answer the relevant question(s) in this section 請回答此部分之相關問題

☐ No 否 → Please go to Section II 請跳到第二部分

(1) Home Address 住宅地址*

Nature of Occupancy 住宅類別:

- ☐ Self-owned 自置物業 ☐ Mortgage 按揭 Monthly Installment 每月供款 \$ _____ ☐ Others 其他
☐ With parents 與父母同住 ☐ Rented 租住 Monthly Rental 每月租金 \$ _____

(2) Nationality 國籍**：_____

(3) Home Tel No. 住宅電話號碼：_____ Home Fax No. 住宅傳真號碼：_____ Mobile Phone No. 手提電話號碼：_____

(4) Email Address 電子郵件地址：_____

(5) Occupation 職業：
僱主 (如屬自僱，謹請註明「自僱」及經營／公司名稱)：_____

(6) Nature of Business 業務性質：_____ (7) Position 職位：_____

(8) Years of Service with Employer 服務僱主年期：_____

(9) Business/Office Address 營業／辦公地址：_____

(10) Marital Status 婚姻狀況：_____

(11) Education Level 學歷:

- ☐ Primary 小學 ☐ Secondary 中學 ☐ Post Secondary 預料/專上學院 ☐ University or above 大學或以上

SECTION II 第二部分: Financial Information 財務資料

Has there been any change to your financial information 閣下之財務資料是否有改變？

☐ Yes 是 → Please answer the relevant question(s) in this section 請回答此部分之相關問題

☐ No 否 → Please go to Section III 請跳到第三部分

(1) Have you changed your investment objectives, investment experience and/or risk tolerance level?

閣下的投資目標、投資經驗及／或可承受風險程度是否有改變？

- ☐ Yes 是 → Your Account Executive will contact you to complete a Kingsway Financial Services Group Limited's Risk Profiling Questionnaire 閣下之客戶主任將會聯絡閣下完成滙富金融服務有限公司的風險承擔能力問卷
☐ No 否

(2) Annual Income (HK\$) 每年收入(以港元計)：

- ☐ ≤ \$250,000 ☐ \$250,001 - \$500,000 ☐ \$500,001 - \$1,000,000 ☐ > \$1,000,000

(3) Net Worth (HK\$) 資產淨值(以港元計)：

- ☐ ≤ \$50,000 ☐ \$50,001 - \$200,000 ☐ \$200,001 - \$500,000 ☐ \$500,001 - \$1,000,000
☐ \$1,000,001 - \$5,000,000 ☐ \$5,000,001 - \$10,000,000 ☐ \$10,000,001 - \$40,000,000 ☐ > \$40,000,000

* Please provide proof of your new address (e.g. utility bill or bank statement issued within the last 3 months).

請提供上述已更新的地址之證明 (如最近三個月內發出的水／電／煤氣費單或銀行月結單)。

** Please provide a copy of the ID document which shows your new nationality.

請提供上述已更新國籍之身份證文件的副本。

SECTION III 第三部分: General Information 一般資料

- (1) Are you the Ultimate Beneficial Owner of the Account? 閣下是否為帳戶之最終實益擁有人?
☐ Yes 是 ☐ No. Please provide Name(s), ID/ Passport No(s) and address of the Beneficial Owner(s).
否。請提供最終實益擁有人的姓名、身份證或護照號碼及地址。
- (2) Are you the only person with authority to operate the Account(s) (the "Authorised Person")? 閣下是否唯一有權操作此帳戶的人士?
☐ Yes 是 ☐ No. Please provide Name(s) & ID/ Passport No. of the Authorised Person(s).
否。請提供有權操作帳戶的人士的姓名及身份證或護照號碼。
- (3) Are you 閣下是否:
(i) a person licensed by or registered with the Hong Kong Securities and Futures Commission[^] or an employee of such a person? ([^]If yes, please specify your CE no.)
香港證券及期貨事務監察委員會持牌或註冊人士[^]或該人士之僱員? ([^]如是, 謹請說明閣下的中央編號。)
☐ Yes 是 () ☐ No 否
- (ii) a relative of the Account Executive responsible for the Account(s)? (If yes, please state the relationship)
帳戶之負責投資顧問之親屬? (如是, 謹請陳述與之關係)
☐ Yes 是 () ☐ No 否
- (iii) a U.S. citizen, a green card holder or residing in the U.S.? 美國公民、綠卡持有人或居住於美國?
☐ Yes 是 () ☐ No 否
- (iv) born in the U.S.? 出生於美國?
☐ Yes 是 () ☐ No 否
- (4) Are (i) you; and/or (ii) your spouse, partner, child(ren) and/ or parent(s); and/or (iii) spouse(s) or partner(s) of your child(ren); and/or (iv) your close associate(s)^{^^}:
(i) 閣下; 及/或 (ii) 閣下之配偶、伴侶、子女及/或父母; 及/或 (iii) 閣下子女的配偶或伴侶; 及/或 (iv) 與閣下關係密切的人^{^^} 是否:
entrusted with prominent public functions (e.g. Head of State or of government, senior politicians/ important political officials, senior government officials, senior judicial officials, senior military officials, senior executives of state owned enterprise or religious leaders)? (If yes, please specify)
被委任為重要公職 (例如: 國家或政府元首、重要政客、高級政府官員、高級司法人員、高級軍官、國有企業高級行政人員或宗教領袖)? (如是, 請說明。)
☐ Yes 是 () ☐ No 否

^{^^} a person is a "close associate" of an individual if the person is 如某人符合以下說明, 該人即屬與某名個人(首述個人)關係密切的人:

- (a) an individual who has close business relations with the first-mentioned individual, including an individual who is a beneficial owner of a legal person or trust of which the first-mentioned individual is also a beneficial owner; or
該人是與首述個人有密切業務關係的個人(在首述個人屬某法人或信託的實益擁有人的情況下, 包括同樣屬該法人或信託的實益擁有人的個人); 或
- (b) an individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the first-mentioned individual.
該人是屬某法人或信託的實益擁有人的個人, 而該法人或信託是為首述個人的利益而成立的。

SECTION IV 第四部分: Customer Acknowledgement 客戶確認

I, the undersigned, confirm that all the information provided in or otherwise in connection with this Client Information 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 Kingsway Financial Services Group Limited immediately in writing of any change(s) to any of the aforesaid information. I understand and agree that unless otherwise indicated by Kingsway Financial Services Group Limited in writing, any such change will not come into effect until 5 working days after the actual receipt of the relevant written notification by Kingsway Financial Services Group Limited. Kingsway Financial Services Group Limited may contact any persons or entities, including but not limited to banks, brokers or credit agencies for verification of any of the information provided (or any part of it).

本人, 即以下簽署人, 確認本人現時及其後於此「客戶資料更新表」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, 本人承諾立即以書面通知滙富金融服務有限公司。本人明白及同意除非滙富金融服務有限公司另作書面知會, 否則該資料更改只會於滙富金融服務有限公司確實收到有關之書面通知當日起計五個工作天後才會生效。滙富金融服務有限公司可聯絡任何人士或實體, 包括並不限於銀行、證券行或信貸機構以核實閣下提供之資料(或其任何部分)。

Agreed by the undersigned# 同意並簽署如下#

Date 日期 _____
(DD日/MM月/YYYY年)

This should be the same as the specimen authorised signature(s) that you previously provided to us.

必須與閣下之前提供本公司的授權簽署式樣相同。

Note 註: If necessary, please make an additional copy of this form or attach separate sheets. 如需要, 請複製此表格或使用附件。