

## FINANCIAL INFORMATION UPDATE FORM 財務資料更新表

<b>Client Information 客戶資料</b>	
<b>Account Number 戶口號碼</b>	
<b>Account Name(s) 戶口姓名</b>	

<b>Employment Status 工作狀況</b>	
<b>Name of Employer 僱主名稱:</b>	
<b>Occupation 職業:</b>	
<b>Job Title 職位:</b>	
<b>Office Address 公司地址:</b>	

<b>Financial Information 財政資料</b>	
<b>Annual Income 全年收入:</b> <input type="checkbox"/> Nil <input type="checkbox"/> ≤ HK\$200,000 <input type="checkbox"/> HK\$200,001 - HK\$500,000 <input type="checkbox"/> HK\$500,001 - HK\$800,000 <input type="checkbox"/> HK\$800,001 - HK\$1,000,000 <input type="checkbox"/> > HK\$1,000,000	<b>Ownership of Residence 住屋業權:</b> <input type="checkbox"/> Self-owned (Mortgaged) 自置 (有抵押) <input type="checkbox"/> Self-owned (Not Mortgaged) 自置 (沒有抵押) <input type="checkbox"/> Rented 租賃 <input type="checkbox"/> Living with Family 與家人同住 <input type="checkbox"/> Others 其他  If Others, please specify 如選其他者, 請列明:
<b>Liquid Assets 流動資產:</b> <input type="checkbox"/> ≤ HK\$500,000 <input type="checkbox"/> HK\$500,001 - HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 - HK\$3,000,000 <input type="checkbox"/> HK\$3,000,001 - HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 - HK\$10,000,000 <input type="checkbox"/> > HK\$10,000,000	<b>Net Worth 資產淨值:</b> <input type="checkbox"/> ≤ HK\$500,000 <input type="checkbox"/> HK\$500,001 - HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 - HK\$3,000,000 <input type="checkbox"/> HK\$3,000,001 - HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 - HK\$10,000,000 <input type="checkbox"/> > HK\$10,000,000
<b>Source of Funds 資金來源:</b> <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <input type="checkbox"/> Savings from Salary 薪金儲蓄  <input type="checkbox"/> Rental Income 租金收入  <input type="checkbox"/> Business Profits 營業溢利  <input type="checkbox"/> Others 其他                             </div> <div style="width: 48%;"> <input type="checkbox"/> Savings from Previous Job 以往工作薪金儲蓄  <input type="checkbox"/> Provided by Family Member 家庭成員提供  <input type="checkbox"/> Investment Earnings 投資收益                             </div> </div> If Others, please specify 如選其他者, 請列明:	

Investment Experience and Objectives 投資經驗及目標	
Investment Experience 投資經驗	<p style="text-align: right;"><u>Executed five or more transactions within the past 3 years</u> 過去三年內曾執行五次或以上的交易</p> <p>(I) Stocks 股票 <span style="float: right;"><input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是</span></p> <p>(II) Derivative Warrants 衍生認股權證 / Callable Bull/Bear Contracts (CBBC) 牛熊證 / Derivative Exchange Traded Funds (ETF) 衍生交易所買賣基金 / Leveraged and Inverse Products 槓桿及反向產品 / Futures and Options 期貨或期權合約交易 / Equity Linked Instruments (ELI) 股票掛鉤票據 / Other derivative products 其他衍生產品</p> <p>(III) Leveraged Foreign Exchange 槓桿式外匯 <span style="float: right;"><input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是</span></p> <p>(IV) Funds 基金 <span style="float: right;"><input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是</span></p>
	<p>(V) Have you worked in the relevant financial sector for at least one year in a professional position that involves the relevant derivatives product? 客戶曾否在相關的金融行業擔任專業職位至少一年，而該職位的工作涉及有關衍生產品? <span style="float: right;"><input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有</span></p> <p>If yes, please specify 如選有者，請列明: _____</p>
	<p>(VI) Have you studied courses of the relevant derivatives product? 客戶曾否修讀有關衍生產品的課程? <span style="float: right;"><input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有</span></p> <p>If yes, please specify 如選有者，請列明: _____</p>
	<p>Please select <b>ONE</b> only 請選其中一頂:</p> <p><input type="checkbox"/> Long term gain 長線獲利 <span style="margin-left: 100px;"><input type="checkbox"/> Short term gain 短線獲利</span>  <input type="checkbox"/> Capital preservation 資本保值 <span style="margin-left: 100px;"><input type="checkbox"/> Others 其他</span></p> <p>If Others, please specify 如選其他者，請列明:</p>

For Office Use Only		
Done By:	Checked By:	Letter Sent By:
Date:	Date:	Date: