



**Periodic Review (Individual) Information Form**  
**定期複查表格(個人)**

Name of the client 客戶姓名: \_\_\_\_\_

Account Number 交易帳號: \_\_\_\_\_

Please complete below questions carefully:  
請仔細填寫以下問題:

1. Please describe your occupation. If you are unemployed/retired, please describe your previous employment:  
請描述閣下的工作狀況。如果閣下現時非在職/退休，請描述以前的工作狀況:

Employer Name 僱主名稱: \_\_\_\_\_

Occupation 行業:

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> 住宿及膳食服務活動<br>Accommodation and food service activities                   | <input type="checkbox"/> 享有治外法權的組織及團體活動<br>Activities of extraterritorial organizations          | <input type="checkbox"/> 行政及支援服務活動<br>Administrative and support service Activities                           |
| <input type="checkbox"/> 農業、林業及漁業<br>Agriculture, forestry and fishing                            | <input type="checkbox"/> 藝術、娛樂及康樂活動<br>Arts, entertainment and recreation                        | <input type="checkbox"/> 建造<br>Construction   |
| <input type="checkbox"/> 教育<br>Education  | <input type="checkbox"/> 電力及燃氣供應<br>Electricity and gas supply                                   | <input type="checkbox"/> 金融及保險活動<br>Financials and insurance activities                                       |
| <input type="checkbox"/> 人類保健及社會工作活動<br>Human health and social work activities                   | <input type="checkbox"/> 進出口貿易、批發及零售業<br>Import/export, wholesale and retail trades              | <input type="checkbox"/> 資訊及通訊<br>Information and communications  |
| <input type="checkbox"/> 製造<br>Manufacturing  | <input type="checkbox"/> 採礦及採石<br>Mining and quarrying   | <input type="checkbox"/> 專業、科學及技術活動<br>Professional, scientific and technical activities                      |
| <input type="checkbox"/> 公共行政<br>Public administration  | <input type="checkbox"/> 地產活動<br>Real estate activities  | <input type="checkbox"/> 運輸、倉庫、郵政及速遞服務<br>Transportation/storage/postal/courier services                      |
| <input type="checkbox"/> 待業 (包括未就業, 退休)*<br>Unemployed (incl. not employed, retired)*             | <input type="checkbox"/> 自來水供應; 污水處理、廢棄物管理及污染防治活動<br>Water/sewerage/waste/remediation management | <input type="checkbox"/> 家庭住戶內部工作活動(包括家庭主婦)*<br>Work activities within domestic households (incl. housewife)* |
| <input type="checkbox"/> 其他服務活動 (請詳細描述): _____<br>Other service activities(Please describe) _____ |  |   |

Position 職位: \_\_\_\_\_

2. Please choose at least one box to describe the source of fund (the funds that are being used on hand):  
請選擇至少一個描述閣下的資金來源 (意指正在使用的資金來源):

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> Salary/ Commission 薪金/佣金                  | <input type="checkbox"/> Business Income 商業收入   | <input type="checkbox"/> Sale of Real Estate 物業出售 |
| <input type="checkbox"/> Saving 儲蓄                                 | <input type="checkbox"/> Investment Income 投資獲利 |   |
| <input type="checkbox"/> Other (Please describe) 其他 (請詳細描述): _____ |   |   |

3. Please choose at least one box to describe your source of wealth (it means the origin of your entire wealth):  
請選擇至少一個描述閣下的財富來源 (意指總財富獲得的來源):

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> Salary/ Pension 薪金/退休金                   | <input type="checkbox"/> Business Income 商業收入 | <input type="checkbox"/> Inheritance/Gift 遺產繼承/饋贈 |
| <input type="checkbox"/> Other (Please describe) 其他(請詳細描述): _____ |   |   |

4. What is your estimated net worth? 閣下資產淨值大約為?

<HKD1,000,000     HKD1,000,000-4,000,000     HKD4,000,001-8,000,000

> HKD8,000,000, Please specify 請注明: \_\_\_\_\_

Type of Asset: 資產種類 (HKD):

Property 物業: \_\_\_\_\_  Cash 現金: \_\_\_\_\_  Stock 股票: \_\_\_\_\_  Others 其他: \_\_\_\_\_

5. What is your annual income? 閣下每年的收入為?

<HKD300,000     HKD300,000-800,000     HKD800,001-1,200,000

> HKD1,200,000 Please specify 請注明: \_\_\_\_\_

6. What is your anticipated level of Activity (Yearly)? 閣下每年預期交易活動量?

<HKD1,000,000     HKD1,000,000-5,000,000     HKD5,000,001-10,000,000

> HKD10,000,000 Please specify 請注明: \_\_\_\_\_

7. Is there any other information changed after account opening e.g home address, correspondence address, bank account, registered email or contact details?

在開戶後，閣下其他資訊是否有任何改變？例如家庭住址、通訊位址、銀行帳戶、註冊電子郵件或聯繫方式？

No 否

Yes (Please contact your Relationship Manager/Sales Person and provide further supporting document) 有改變 (請聯繫閣下的客戶關係經理/銷售人員並提供相關的證明檔)

Client Signature 客戶簽署:

Client Name 姓名: \_\_\_\_\_

Date 日期: \_\_\_\_\_ day 日 / \_\_\_\_\_ month 月 / \_\_\_\_\_ year 年

**Internal Use:**

附注 Note

If AE/ Salesperson confirm the above information with client through company taped recording system, please provide the taped recording details.

如經紀/證券銷售員以公司錄音電話與客戶確認以上資料，請詳細記錄錄音詳情。

Ext No. 內線: \_\_\_\_\_ Date 日期: \_\_\_\_\_ Time 時間: \_\_\_\_\_

Reviewed & Concurred By

核查及同意

\_\_\_\_\_  
經紀/證券銷售員  
AE/ Salesperson

Reviewed by

AE/Salesperson: Name: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Checked by CSO: Name: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

System Input by: Name: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Input Checked by: Name: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_