

**客戶財務狀況更新表格 (個人/聯名)**

**Update of Client's Financial Information Form (Individual/Joint)**

致 To : (請選擇適用的公司 Please select applicable company)

- 浦銀國際投資管理有限公司 SPDB International Investment Management Limited /  
 浦銀國際融資有限公司 SPDB International Capital Limited /  
 浦銀國際證券有限公司 SPDB International Securities Limited

香港灣仔軒尼詩道 1 號浦發銀行大廈 33 樓

Website: [www.spdbi.com](http://www.spdbi.com)

33/F, SPD Bank Tower, One Hennessy, 1 Hennessy Road, Hong Kong

Email: [CS@spdbi.com](mailto:CS@spdbi.com)

賬戶名稱 Account Name:	賬戶號碼 Account Number: 生效日期 Effective Date:
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本人/吾等要求浦銀國際更改本人/吾等之賬戶資料紀錄如下: I/we request SPDBI to change my/our account information as follows:

註: 請在適當  加上剔號。Note: Please tick appropriate box .

I. 客戶財務狀況 Client's Financial Profile (*可選擇多於一項 can choose more than one categories)			
所住業權 Ownership of Residence	<input type="radio"/> 已抵押自置物業 Self-owned (Mortgaged)	<input type="radio"/> 無抵押自置物業 Self-owned (Not Mortgaged)	<input type="radio"/> 租用物業 Rental
	<input type="radio"/> 宿舍 Quarters	<input type="radio"/> 與家人同住 Live with family member	<input type="radio"/> 其他 Others _____
年度薪金、佣金/獎金收入 (港幣) Annual Salary, Commission/Bonus Income (HKD)	<input type="radio"/> <\$250,000		<input type="radio"/> \$250,000 - \$500,000
	<input type="radio"/> \$500,001 - \$1,000,000		<input type="radio"/> \$1,000,001 - \$5,000,000
	<input type="radio"/> \$5,000,001 - \$10,000,000		<input type="radio"/> > \$10,000,000 請注明 please specify: _____
年度其他非薪金、佣金/獎金收入 (港幣) Annual Income other than Salary, Commission/Bonus Income (HKD)	<input type="radio"/> < \$250,000		<input type="radio"/> \$250,000 - \$500,000
	<input type="radio"/> \$500,001 - \$1,000,000		<input type="radio"/> \$1,000,001 - \$5,000,000
	<input type="radio"/> \$5,000,001 - \$10,000,000		<input type="radio"/> > \$10,000,000 請注明 please specify: _____
上述持續非薪金、佣金/獎金收入來源* Ongoing Source(s) of Funds of the above other than Salary, Commission/Bonus Income*	<input type="radio"/> 營商收入 Business Income		<input type="radio"/> 退休金 Retirement Fund
	<input type="radio"/> 投資回報 Investment Returns		<input type="radio"/> 家人/遺產 Family or Inheritance
	<input type="radio"/> 其他 Others: _____		
估計淨資產值 (港幣) Estimated Net Worth (HKD)	<input type="radio"/> < \$1,000,000		<input type="radio"/> \$1,000,000 - \$3,000,000
	<input type="radio"/> \$3,000,001 - \$5,000,000		<input type="radio"/> \$5,000,001 - \$10,000,000
	<input type="radio"/> \$10,000,001 - \$50,000,000		<input type="radio"/> > \$50,000,000 請注明 please specify: _____
流動資產淨值 (港幣)# Liquid Net Wealth (HKD)#	<input type="radio"/> < \$500,000		<input type="radio"/> \$500,000 - \$1,000,000
	<input type="radio"/> \$1,000,001 - \$3,000,000		<input type="radio"/> \$3,000,001 - \$8,000,000
	<input type="radio"/> \$8,000,001 - \$20,000,000		<input type="radio"/> > \$20,000,000 請注明 please specify: _____
	#流動資產包括存款、債券、存款證、股票、基金等 #Liquid assets include deposit, bonds, certificates of deposit, securities and funds etc.		

財富來源* Source of Wealth*	<input type="radio"/> 營商收入 Business Income	<input type="radio"/> 薪金收入 Salary Income	<input type="radio"/> 退休金 Retirement Fund
	<input type="radio"/> 投資回報 Investment Returns	<input type="radio"/> 饋贈/遺產 Gift or Inheritance	<input type="radio"/> 其他 Others _____
賬戶資金來源* Source of Account Funds*	<input type="radio"/> 薪金、佣金/獎金 Salary, Commission/ Bonus		<input type="radio"/> 非薪金、佣金/獎金 Other than Salary, Commission/ Bonus
賬戶資金來自* Account Funds come from*	<input type="radio"/> 支票 Cheque	<input type="radio"/> 銀行轉賬 Bank Transfer	<input type="radio"/> 電匯 Remittance
賬戶資金來源地* Place of Source of Fund*	<input type="radio"/> 香港 Hong Kong	<input type="radio"/> 中國 PRC	<input type="radio"/> 其他 Others _____

## II. 身份披露 Identity Disclosure

閣下是否為賬戶有關之交易的最終實益擁有人(見《打擊洗錢及恐怖分子資金籌集條例》(第 615 章)附表 2 第 1 部分第 1 條), 即最終受益於與賬戶有關的交易 (見一般條款之定義) 或承擔其風險? Are you the ultimate beneficial owner (as defined under Section 1 of Part 1 of Schedule 2 of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (Cap. 615)) of the Account who shall benefit from, or bear the risk of, the Transactions? (as defined under the General Terms)

<input type="radio"/> 是 Yes	<input type="radio"/> 否 No (請詳細披露 please provide details) 姓名 Name _____ 國籍 Nationality _____ 身份證/護照號碼 ID/Passport NO. _____ 地址 Address _____
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閣下是否全權負責就賬戶之操作發出所有指示? Are you fully responsible for originating all Instructions for the operation of the Account?

<input type="radio"/> 是 Yes	<input type="radio"/> 否 No (請詳細披露 please provide details) 姓名 Name _____ 國籍 Nationality _____ 身份證/護照號碼 ID/Passport NO. _____ 地址 Address _____
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## III. 客戶聲明及確認 Client's Declaration and Confirmation

本人/吾等確認賬戶內的資金不是源於或涉及非法所得。I/We confirm the funds in the Account are not derived from or involved in illegal activities.

本人/吾等確認賬戶內的資金是屬於本人/吾等。I/We confirm the funds in the Account belong to me/us.

本人/吾等謹此聲明以上提供之資料屬真實、完整及為正確無誤。本人/吾等承諾, 如本人/吾等提供予浦銀國際的賬戶資料有任何的變更, 須就該等變更立即通知浦銀國際。I/We hereby declare that the information as set out in the above is true, complete and accurate. I/We undertake that I/we shall immediately inform SPDBI of any change to the account information provided.

本人/吾等明白及同意上述要求的更改須於上述擬生效日期或於浦銀國際處理此《客戶財務狀況更新表格》之日生效, 以較遲者為準。一旦此《客戶財務狀況更新表格》得到處理, 本人/吾等即授權浦銀國際替換本人/吾等先前在浦銀國際的一切紀錄。I/We understand and agree that the requested changes stated above shall take effect on the above proposed effective date or on the date when SPDBI processes this Update of Client's Financial Information Form, whichever is later. Once this Update of Client's Financial Information Form has been processed, I/we authorise SPDBI to replace all the previous records of me/us maintained with SPDBI.

現收集到的個人信息會依照浦銀國際的收集個人資料聲明處理。The personal data herein collected will be handled in accordance with the Personal Information Collection Statement of SPDBI.

客戶簽署 Signature(s) of Client(s)  姓名(正楷) Name(s)(in Block Letters) (請用已提供之簽署式樣) (Please use the specimen signature provided)	日期 Date (日 DD/月 MM/年 YYYY) :
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或 Or	
證監會持牌人簽署 Signature of SFC's Licensee  姓名(正楷) Name(in Block Letters) 牌照號碼 CE no.	錄音日期(日/月/年)及時間 Date (DD/MM/YYYY) & Time of Phone Recording

本公司專用 For Office Use Only			
Signature Verified by 簽署核證人	Input by 經辦人	Approved by 審批人	Checked by 校對人
Name 姓名:	Name 姓名:	Name 姓名:	Name 姓名:
Date 日期:	Date 日期:	Date 日期:	Date 日期: