

## 綜合戶口資料更改書 Account Particulars Amendment Form

僅供現有客戶使用: For Existing Customers Only

申請日期 Application Date: \_\_\_\_\_

|   |                  |
|---|------------------|
| 戶口名稱 Account Name:  | 戶口號碼 Account No: |
| 經紀名稱 A.E. Name:   | 經紀編號 A.E. No:    |
| 戶口種類 Account Type*:<br><input type="checkbox"/> 股票 Stock <input type="checkbox"/> 股票期權 Stock Option <input type="checkbox"/> 商品 / 外匯 Commodities / Forex <input type="checkbox"/> 貴金屬 Bullion |                  |

### A. 郵寄地址 Correspondence Address

(如搬遷住另一國家, 需附上新的 W-8 表格。除以正本遞交此表格外, 需附上最近三個月內的住址證明。New W-8 Form is required if you relocate to another country. An address proof issued within the last 3 months is required unless handling original of this Form.)

本地 Local  海外 Overseas

### B. 工作狀況 Employment Status (如此項有任何更新, 需填寫C及D。 For any updates of this Part, please also complete Part C and D.)

|                        |  |
|------------------------|--|
| 職業 Occupation          |  |
| 職位 Job Title           |  |
| 僱主名稱 Name of Employer  |  |
| 受僱年期 Employment Period |  |
| 辦公室地址 Office Address   |  |

### C. 財政狀況 Financial Situation\*

|                              |   |
|------------------------------|---|
| 流動資產 Liquid Asset:           | <input type="checkbox"/> <HK\$100,000 <input type="checkbox"/> HK\$100,000 - HK\$500,000 <input type="checkbox"/> HK\$500,001 - HK\$1,000,000<br><input type="checkbox"/> HK\$1,000,001 - HK\$5,000,000 <input type="checkbox"/> >HK\$5,000,000         |
| 資產淨值 Net Worth:              | <input type="checkbox"/> <HK\$100,000 <input type="checkbox"/> HK\$100,000 - HK\$500,000 <input type="checkbox"/> HK\$500,001 - HK\$1,000,000<br><input type="checkbox"/> HK\$1,000,001 - HK\$5,000,000 <input type="checkbox"/> >HK\$5,000,000         |
| 年薪 Annual Income:            | <input type="checkbox"/> <HK\$100,000 <input type="checkbox"/> HK\$100,000 - HK\$200,000 <input type="checkbox"/> HK\$200,001 - HK\$500,000<br><input type="checkbox"/> HK\$500,001 - HK\$1,000,000 <input type="checkbox"/> >HK\$1,000,000             |
| 住屋業權 Ownership of Residence: | <input type="checkbox"/> 擁有 Owned- <input type="checkbox"/> 沒有 Not Owned-<br><input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 租住 Rented<br><input type="checkbox"/> 沒有抵押 Not Mortgaged <input type="checkbox"/> 與家人同住 Living with Family |

### D. 資金來源 Source of Fund \*

|                 |   |
|-----------------|---|
| 投資所得 Investment | <input type="checkbox"/> 銀行利息 Bank Deposit <input type="checkbox"/> 投資買賣 Investment Trading <input type="checkbox"/> 其他 Other:                  |
| 租金收入 Rental     | <input type="checkbox"/> 物業 Property <input type="checkbox"/> 其他 Other:   |
| 儲蓄 Saving       | <input type="checkbox"/> 工作收入 Salary <input type="checkbox"/> 生意 Business <input type="checkbox"/> 家庭 Family <input type="checkbox"/> 其他 Other: |
| 借貸 Loan         | <input type="checkbox"/> 金融機構 Financial Institution <input type="checkbox"/> 親戚 Relatives <input type="checkbox"/> 其他 Other:                    |
| 其他 Other        |   |

### E. 護照資料 Passport Details (需附上護照副本。 A copy of passport is required.)

|                   |  |
|-------------------|--|
| 護照號碼 Passport No. |  |
| 到期日 Expiry Date   |  |

### F. 電郵地址 Email Address

|  |  |
|--|--|
|  |  |
|--|--|

### G. 銀行入賬戶 Bank Account Details

(可提供最多三個銀行入賬戶及提供銀行證明。 Can register up to three bank accounts and provide proof of bank details.)

|                        |   |
|------------------------|---|
| 銀行及戶口號碼 Bank & A/C No. | <input type="checkbox"/> 增加/更改 Add/Amend A/C. |
| 銀行及戶口號碼 Bank & A/C No. | <input type="checkbox"/> 增加/更改 Add/Amend A/C. |
| 銀行及戶口號碼 Bank & A/C No. | <input type="checkbox"/> 增加/更改 Add/Amend A/C. |

### H. 聯絡電話 Contact No.

|                          |  |
|--------------------------|--|
| 住宅電話 Home Phone No.      |  |
| 流動電話 Mobile Phone No.    |  |
| 辦公室電話 Business Phone No. |  |

| I. 授權人士電話 Authorized Person Contact No. |  |
|---|--|
| 獲授權人士姓名 Authorized Person Name          |  |
| 獲授權人士電話 Authorized Person Phone No.     |  |
| J. 其他更改 Other Amendment                 |  |
| 原本詳情 Current Details                    |  |
| 新詳情 New Details                         |  |

I/We acknowledge that 本人 / 吾等確認:

- i. The personal data herein shall be used for processing your application for change of account particular. Handling of personal data will be in accordance with the Company's Personal Information Collection Statement, as stated in the Client Agreement provided upon account opening. 本綜合戶口資料更改書所載之個人資料，僅用作更改戶口資料之用途。所有客戶的個人資料，均會根據本公司客戶協議中的個人資料收集聲明來處理。
- ii. The information contained in this Form is true and accurate. Phillip Securities Group is entitled to rely fully on such information for all purposes, unless it receives notice in writing of any change. Phillip Securities Group is authorized at any time to contact anyone, including Client's banks, brokers, or any credit agency, for the purpose of verifying the information provided on this Form. 載於本客戶資料表中的資料是真實及準確。除非輝立證券集團收到更改資料的書面通知，輝立證券集團有權為任何目的信賴這些資料。輝立證券集團已獲得客戶授權可隨時聯絡任何人，包括客戶的銀行，經紀或任何信用調查機構，藉以核實本客戶綜合戶口資料更改書中所提供的資料。
- iii. Phillip Securities Group shall confirm your application by written notice or your Account Executive will inform you of our refusal thereof via telephone no later than 14 working days after receipt of it. 輝立證券集團於收妥閣下申請表後 14 個工作天內以書面形式確認閣下之申請，若客戶之申請不被接納其客戶主任會以電話形式通知閣下。

| K. 收取電子成交單據及月結單 E-statement Services Application *   |  |
|--|--|
| 本人/吾等申請以電子郵件形式(電郵)收取由輝立證券集團發出下述戶口之綜合帳戶結單及成交單據及月結單<br>I/We hereby request to receive the combined statement of account and contract notes and monthly statement of account via electronic mail (e-mail) from Phillip Securities Group for my: |  |
| <input type="checkbox"/> 全部戶口  | All Account(s)                         |
| <input type="checkbox"/> 股票及股票期權戶口   | Stock Account and Stock Option Account |
| <input type="checkbox"/> 期貨戶口  | Futures Account                        |
| 到以下電郵地址: _____ (請以大楷填寫 please write in capital letters)  |  |

I/We apply for E-statement Services and acknowledge that 本人/吾等申請收取電子成交單據及月結單並確認:

- i. the application will take 7 working days to process; 該申請需時 7 個工作天以作處理;
- ii. once the application is processed, I/we would no longer receive a hard copy of the combined statement of account and contract notes and monthly statement of account; 一經申請，本人/吾等將不會收到任何綜合帳戶結單、成交單據及月結單的印刷本;
- iii. if there is any discrepancies between the above-stated e-mail address and the one maintained in our record (if any), the former shall replace the latter in our record; 如上述電郵地址與客戶舊有的電郵地址不同，將會以上述電郵地址為準;
- iv. Phillip Securities Group shall not be responsible for any delay or failure in the transmission, receipt of information due to either a breakdown or failure of transmission of communication facilities, or any unreliable medium of communication or to any uncontrollable or unanticipated caused or other causes; and 輝立證券集團無須因任何通訊設施發生故障或傳送失靈，或因任何不完全可靠之通訊媒介，或非本公司控制範圍或預測之任何其他原因所造成傳訊或收取資訊之延誤負責；及
- v. In the event of any conflict between any provisions of the Chinese and English versions of the Form, the English version shall prevail. 如本表格的中、英文本出現分歧，以英文藍本為準。

\* 請選擇適合空格 Please tick in appropriate box (es)

|   |  |   |  |
|---|--|---|--|
| 個人/主要帳戶持有人名稱:<br>Individual/Primary Joint Holder's Name:      |  | 聯名帳戶第二持有人名稱:<br>Secondary Joint Account Holder's Name:      |  |
| 個人/主要帳戶持有人簽署:<br>Individual/Primary Joint Holder's Signature: |  | 聯名帳戶第二持有人簽署:<br>Secondary Joint Account Holder's Signature: |  |

| Office Use Only  |  |       |
|--|--|-------|
| For any completion in Part A (overseas address) to Part D, the <u>designated approver</u> should assess the client's AML risk level. |  |       |
| Updated AML Risk Level:  | <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High |       |
| Name:  | Signature:   | Date: |
| Settlement Input   |  |       |
| Name:  | Signature:   | Date: |