

NOTIFICATION FORM FOR CHANGE OF CLIENT PARTICULAR

更改客戶資料通知書

The information is required from the Client for Po Sang Securities and Futures Limited ("Po Sang")'s compliance with its customer due diligence policy, local laws and regulations and/or international standards. It forms an important part of the international efforts to combat money laundering, terrorist financing and fraudulent activity. Failure to provide the required information may result in Po Sang's inability to process your application and/or to provide services to the Client. Please refer to Po Sang's "Data Policy Notice" or documents under other relevant headings issued by Po Sang and its associate entities from time to time relating to the general policies on the use, disclosure and transfer of personal data.

從客戶獲取的資料是為了遵守寶生證券及期貨有限公司("寶生")的客戶盡職審查政策、本地法律及條例及/或國際標準所訂立的要求。在國際間打擊洗黑錢、恐怖活動融資及詐騙活動中，此程序至關重要。如客戶未能提供有關資料，寶生可能無法處理客戶的申請及/或向客戶提供服務。請參閱寶生的「資料政策通告」或寶生及其相關機構不時以任何名稱發出的有關個人資料的使用、披露及轉移的一般政策的其他文件。

(Please mark as appropriate; 請在適當方格內填上。)

Information of the Client 客戶資料		
Name in English 英文姓名:	Account No 賬號:	<input type="checkbox"/> Securities 證券 <input type="checkbox"/> Futures 期貨
Name in Chinese 中文姓名:	Identification Document No. 身份證明文件號碼:	

Please update my trading account information with your company with effect from (Year/Month/ Day)

請更新本人於 貴公司交易賬戶的資料記錄，生效日期為(年/月/日)：_____

1. Change of Client's name*, Nationality(Country/Region) and Identification Document No.* 更改客戶姓名、國籍(國家/地區)及身份證明文件號碼*：

Former name, Nationality(Country/Region) and Identification Document No. 原名、國籍(國家/地區)及身份證明文件號碼	
New name, Nationality(Country/Region) and Identification Document No. 更改後的姓名、國籍(國家/地區)及身份證明文件號碼	

*Please provide supporting document for verification 請提供有關之證明文件作核實用途

2. Change of Telephone No./E-mail Address 更改電話號碼/電郵地址：

<input type="checkbox"/> Residential 住宅	<input type="checkbox"/> Office 公司	<input type="checkbox"/> Mobile 流動	<input type="checkbox"/> E-mail Add. 電郵地址
住宅：_____	公司：_____	流動：_____	電郵地址：_____

3. Change of Address/Correspondence Address 更改地址/通訊地址：

<input type="checkbox"/> Residential 住宅	<input type="checkbox"/> Pemanent 長期居留	<input type="checkbox"/> Office 公司	<input type="checkbox"/> Correspondence 通訊
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4. Change of Client's information 更改客戶資料：

Name of Employer/Company 僱主/公司名稱	Nature of Business 行業性質	Job Title 職位
Nature of Occupation 職業性質	<input type="checkbox"/> Civil Servant 文職公務員 <input type="checkbox"/> Professional 專業 _____ <input type="checkbox"/> Employer/Self employed 僱主或自僱 <input type="checkbox"/> Retired 退休人士	<input type="checkbox"/> Clerk/Secretary 文員或秘書 <input type="checkbox"/> Blue-Collar Worker 藍領人員 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Unemployment 未受僱
	<input type="checkbox"/> Manager/Executive 經理或行政人員 <input type="checkbox"/> Service Worker 服務工作人員 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Others 其他 _____	

Settlement Bank Account 結算銀行戶口	Bank Name 銀行名稱	A/C Name 賬戶持有人名稱：	A/C No 賬戶號碼：
HKD 港幣			
USD 美元			
RMB 人民幣			

5. Financial Situation 財政狀況：

Annual Income (HKD) 全年收入(港幣):			
<input type="checkbox"/> 0 - 250,000	<input type="checkbox"/> 250,001 - 500,000	<input type="checkbox"/> 500,001 - 1,000,000	<input type="checkbox"/> 1,000,001 - 3,000,000
<input type="checkbox"/> 3,000,001 - 5,000,000	<input type="checkbox"/> Over 5,000,000		
Net Liquid Assets(HKD) 流動資產淨值(港幣):			
<input type="checkbox"/> 0 - 250,000	<input type="checkbox"/> 250,001 - 500,000	<input type="checkbox"/> 500,001 - 1,000,000	<input type="checkbox"/> 1,000,001 - 5,000,000
<input type="checkbox"/> 5,000,001 - 10,000,000	<input type="checkbox"/> 10,000,001 - 30,000,000	<input type="checkbox"/> 30,000,001 - 50,000,000	<input type="checkbox"/> Over 50,000,000
Source of Funds 資金來源: (At most 3 items may be selected 最多可選 3 項))			
<input type="checkbox"/> Salary 受僱薪金	<input type="checkbox"/> Income Accumulation 收入累積	<input type="checkbox"/> Estates 世襲財產/遺產	<input type="checkbox"/> Retirement Fund / Reserves 退休金/儲備
<input type="checkbox"/> Commission / Business Income 佣金 / 生意收入	<input type="checkbox"/> Return of Investment 投資收入	<input type="checkbox"/> Sale of Property(Please specify) 出售資產(請註明)_____	<input type="checkbox"/> Other(Please specify) 其他(請註明)_____

6. Other Changes 其他更改：

Other Changes

其他更改：_____

Direct Marketing Materials Receiving Instruction 客戶接收推廣訊息指示

The Client **does not wish** Po Sang to use his/her personal data in direct marketing via the following channel(s) (please use “✓” to select the channel(s)):-

客戶 **不欲** 寶生使用其個人資料經以下渠道作直銷推廣 (請以“✓”選擇渠道):-

電子渠道

Electronic Channels

郵件

Mail

專人電話

Personal Call

If the Client returns this Form without ticking any of the above boxes, it means that the Client does not wish to opt-out from any form of direct marketing from Po Sang.

如客戶沒有在以上任何方格內以“✓”號顯示其選擇，即代表客戶並不拒絕寶生任何形式的直銷推廣。

To improve and provide more comprehensive services to our Clients, Po Sang may provide the Client's personal data to other members of the Group[^] and any other persons for their use in direct marketing of financial, insurance, credit card, securities, commodities, investment, banking and related services and products and facilities and so forth. Please tick “✓” this box if the Client **does not wish** Po Sang to provide Client's personal data to the above persons for the above purposes.

為改善及提供更全面的服務予寶生的客戶，寶生可能會將客戶的個人資料提供予「本集團」[^]其他成員及其他人作其包括財務、保險、信用卡、證券、商品、投資、銀行及相關服務和產品及授信的直銷推廣。若客戶 **不欲** 寶生提供其個人資料予以上人士作以上用途，請閣下在這方格上以“✓”號表示。

[^] The “Group” means Po Sang and its holding companies, branches, subsidiaries, representative offices and affiliates, wherever situated. Affiliates include branches, subsidiaries, representative offices and affiliates of Po Sang's holding companies, wherever situated. 「本集團」指寶生及其控股公司、分行、附屬公司、代表辦事處及附屬成員，不論其所在地。附屬成員包括寶生的控股公司之分行、附屬公司、代表辦事處及附屬成員，不論其所在地。

The above represents the Client's present choice regarding whether or not to receive direct marketing materials, and Po Sang's intended provision of Client's personal data to other members of the Group[^] for their use in direct marketing. This replaces any choice communicated by the Client to Po Sang prior to this application. Please note that the Client above choice applies to the direct marketing of the classes of products, services and/or subjects as set out in Po Sang's Data Policy Notice. Please also refer to the said Notice on the kinds of personal data which may be used in direct marketing and the classes of persons to which the Client's personal data may be provided for them to use in direct marketing.

以上代表客戶現在對是否接收直銷推廣資料，以及對寶生擬將其個人資料提供予「本集團」[^]其他成員作其直銷推廣的選擇，亦取代任何客戶之前已告知寶生的選擇。請注意，客戶以上的選擇適用於根據寶生的《資料政策通告》上所載的產品、服務及/或標的類別的直銷推廣。請客戶參考該通告上以得知在直銷推廣上可使用的個人資料的種類，以及客戶的個人資料可提供予甚麼類別的人士以供該等人士在直銷推廣中使用。

S.V.

Signed by the Client

客戶簽署：_____

Date

日期：_____

For Company Use Only 本公司專用

Remark 備註				
Is the above change of client particular not affecting client's existing risk assessment level? 上述客戶更改個人資料是否不影響客戶現有風險評分? <input type="checkbox"/> Yes 是。 <input type="checkbox"/> No, please fill in the Client Risk Assessment Form for re-assessment of client's risk level 否，須重新填寫《客戶風險評估表》。				
Other 其他：_____				
Customer Services 客戶服務		Settlement 結算		
Handled by 經辦	Checked by 覆核	Handled by 經辦	Checked by 覆核	Date 日期