

Change of Investment and Financial Information 更改投資及財務資料

To 致	<input type="checkbox"/> KGI Asia Limited 凱基證券亞洲有限公司	<input type="checkbox"/> KGI Futures (Hong Kong) Limited 凱基期貨(香港)有限公司	Date (dd/mm/yy) 日期 (日/月/年)	<input style="width: 30px; height: 20px;" type="text"/> / <input style="width: 30px; height: 20px;" type="text"/> / <input style="width: 30px; height: 20px;" type="text"/>
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Client Information 客戶資料

* Account Number 帳戶號碼	<table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td></tr> </table>																																						
* Account Name 帳戶名稱 (CAPITAL LETTERS 大寫字母)	<table border="1" style="width: 100%; height: 40px; border-collapse: collapse;"> <tr><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td></tr> <tr><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td><td style="width: 12.5%;"></td></tr> </table>																																						

Instructions 指示:

1. Please fax or e-mail this form to the fax no. or e-mail address below. Requests made after the cut-off time (i.e. 16:30 HK Time on a working day) or on a Saturday, Sunday and public holiday will be processed on the next working day.

請將本表格傳真至以下傳真號碼或電郵至以下電郵地址。在截數時間(即香港工作天時間16:30)後或是星期六、日及公眾假期遞交的客戶指示將於隨後的一個工作天辦理。

Fax 傳真: (852) 2878-4932 Email 電郵: ops.service@kgia.com

2. Your request will normally be processed within 3 working days after our receipt of this duly completed and signed.

本行將於收到閣下已填妥並簽署的此申請表後三個工作天內處理閣下的申請。

Instruction Details 指示詳情

* Effective Date 生效日期	<table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr><td style="width: 30%;"></td><td style="width: 30%;"></td><td style="width: 30%;"></td></tr> </table>			

● Your financial information 客戶財務資料:

(a) Annual income (HKD) 每年收入(港元)

Under / 少於 \$100,000

\$100,000 - \$500,000

\$500,001 - \$1,000,000

Above/多於 \$1,000,000 (please specify 請註明)

(b) Total net worth (HKD) 客戶資產淨值(港元) _____

(c) Source of funds/wealth 資金/財富來源

Salary / Commission 薪金 / 佣金 Savings 儲蓄 Own Business 自營業務 Investment 投資 Inheritance 遺產

Others 其他 (Please specify 請指明): _____

(d) Do you own any property / real estate 客戶是否擁有任何資產 / 物業?

No 沒有

Yes, details are 有, 詳情為: _____

With financing 有借貸

Without financing 無借貸

● Your investment experience 客戶投資經驗:

HK listed securities (average trade size) 香港上市證券 (平均交易額)

HKD 港元 _____

Overseas listed securities (average trade size) 海外上市證券 (平均交易額)

HKD 港元 _____

HK futures and options (number of contracts and product(s)) 香港期貨及期權(合約數量及產品)

Oversea futures and options (number of contracts and product(s)) 海外期貨及期權 (合約數量及產品)

Short selling of listed securities 沽空上市證券

Yes 有 No 沒有 _____

● Your investment objectives and risk tolerance 客戶投資目的及可承受風險:

(a) Investment objectives 投資目的

Income 收入

Hedging 對沖

Capital Gain 資本增值

Speculation 投機

(b) Risk tolerance 可承受風險

Low 低風險

Medium 中等風險

High 高風險

◆ Securities Margin, Stock Options and Futures Account are Belongs to Medium and/or High categories. 證券保證金、股票期權及期貨買賣帳戶屬於“中等風險”及/或“高風險”類別。

Client Signature(s)

客戶簽署

X

(All account holders of joint account must sign jointly. 所有聯名客戶必須簽署)

S.V.

Signatory Name(s)

簽署人姓名

FOR OFFICE USE ONLY 此部分由本公司填寫

Confirmed & Signed by IR/CSO	Updated by OPP:	Checked by OPP:
Name: _____ Date: _____	Name: _____ Date: _____	Name: _____ Date: _____

* Mandatory Fields