

To:
UOB Kay Hian (Hong Kong) Limited
UOB Kay Hian Futures (Hong Kong) Limited
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39 Gloucester Road, Hong
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FINANCIAL BACKGROUND UPDATE FORM (FOR INDIVIDUAL CLIENT)

更新財務狀況表格(個人客戶)

Account Name(s)	Account No.
帳戶名稱: _____	帳戶號碼: _____ - _____ / M/ S/ F*
*Delete where applicable	

Section A: Financial Background information(s) as follows 財務狀況資料如下:

(Note: Aggregate Amounts For Joint Account 聯名客戶以總數填寫)

1. Estimated annual income (in HK\$) 估計年薪(以港幣計):

- | | | |
|--|--|--|
| ☐ < \$200,000 | ☐ \$200,000-\$500,000 | ☐ \$500,001-\$1,000,000 |
| ☐ \$1,000,001 - \$3,000,000 | ☐ \$3,000,001-\$5,000,000 | ☐ > \$5,000,000 |

2. Approximate net value of assets (in HK\$) (including place of residence, cash deposit at Bank, shares, bonds, warrants etc. 淨資產約值(以港幣計) (包括居住地方、銀行存款、股票、債券、認股權證等) :

- | | | |
|--|---|--|
| ☐ < \$500,000 | ☐ \$500,000-\$1,000,000 | ☐ \$1,000,001-\$3,000,000 |
| ☐ \$3,000,001 - \$5,000,000 | ☐ \$5,000,001-\$10,000,000 | ☐ > \$10,000,000 |

3. Source of Wealth 預計財富來源:

- ☐ Salary 薪金 (please complete Section B)
- ☐ Business Gain 業務收益 (please complete Section B)
- ☐ Investment 投資 (Nature of Investment 投資 類別: _____)
Note 註: such as securities trading, bond trading, real estate investment, etc. 如證券交易、債券交易、房地產投資等。
- ☐ Earning from spouse 家用
- ☐ Sale of Property/Assets 出售物業/資產 (location of Property 物業所在地: _____)
- ☐ Inheritance 繼承財產 (Place of inheritance 財產繼承來源地: _____)
- ☐ Other (Please specify) 其他 (請註明): _____

4. Anticipated Level and Nature of the Activity 預期投資程度及交易性質(以港幣計):

- | | |
|--|--|
| ☐ < \$500,000 | ☐ \$500,000-\$1,000,000 |
| ☐ \$1,000,001-\$5,000,000 | ☐ > \$5,000,000 |

(Please specify the nature 請註明交易性質) _____

Section B: Current Employment Status 目前工作狀況:

	☐ Employed 受僱	☐ Self-employed 自僱
Employer's name 僱主名稱		
Work or Business address 工作或營業地址		
Occupation(or type of Business) 職業或業務性質		
Position 職位		
Year(s) employed 任職年期		
☐ Unemployed 無業 ☐ Retired 退休		

I/We represent that the contents and information provided by me/us in this form are true, complete, correct and not misleading in any respect and that the representations made by me/us herein are accurate. You may or are entitled to rely entirely upon such contents information and representations for all purpose, unless you receive notice in writing from me/us of any change thereof.

本人/吾等茲申述在此表格內的資料及內容屬實、完整、正確，且在任何方面均無誤導，及附上申述內容準確，除非貴司收到更改有關聲明內容的書面通知，否則貴司可或有權在任何用途上完全依賴這些資料及申述。

Client Signature(s)**客戶簽署****Date****日期**

Please use the signature(s) filed with the Company 請用留存在本公司之印鑑簽署