



# 偉祿亞太證券有限公司

REALORD ASIA PACIFIC SECURITIES LIMITED

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交易所經紀代號: 6515-6519 | 證監會牌照: AVJ441 | 偉祿集團 (香港上市股票代號: 1196) 成員 Member of Realord Group (SEHK stock code: 1196)

## 更新財務狀況及投資經驗

### Update of Financial Profile & Investment Experience

日期 Date : \_\_\_\_\_

戶口名稱 A/C Name : \_\_\_\_\_

戶口號碼 A/C Number: \_\_\_\_\_

就業情況 EMPLOYMENT STATUS (請在適當空格加 √) (Please tick the appropriate box)			
就業情況 Employment:	<input type="checkbox"/> 受僱 Employed <input type="checkbox"/> 自僱 Self-employed <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 其他 Other : _____		
僱主名稱 Name of Employer of Primary Client:	現時職位 Present Position:		
電話號碼 (辦公室) Tel. No. (Office):	傳真機號碼 Fax No.:	工作性質 Nature of Business:	
辦公室地址 Office Address:			

財政狀況及投資經驗 FINANCIAL AND INVESTMENT EXPERIENCE (請在適當空格加 √) (Please tick the appropriate box)	
投資知識 Investment Knowledge:	<input type="checkbox"/> 精通 Excellent <input type="checkbox"/> 良好 Good <input type="checkbox"/> 尚可 Fair <input type="checkbox"/> 有限 Limited <input type="checkbox"/> 無 None
投資經驗 Investment Experience: :	<input type="checkbox"/> 股票/認股證__年 Stock/Warrant__ Year(s) <input type="checkbox"/> 期貨/期權__年 Option/Futures__ Year(s) <input type="checkbox"/> 外幣/黃金__年 FX/Bullion__ Year(s) <input type="checkbox"/> 其他____, __年 Other(s)____, __ Year(s)
投資目標 Investment Objective:	<input type="checkbox"/> 增值 Growth <input type="checkbox"/> 收益 Income <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 其他 Other
全年收入(港幣) Annual Income (HK\$)::	<input type="checkbox"/> < \$250,000 <input type="checkbox"/> \$250,001-\$500,000 <input type="checkbox"/> \$ 500,001-\$1,000,000 <input type="checkbox"/> > \$1,000,001
資產淨值(港幣) Net Worth (HK\$):	<input type="checkbox"/> < \$500,000 <input type="checkbox"/> \$500,001-\$2,500,000 <input type="checkbox"/> \$2,500,001-\$5,000,000 <input type="checkbox"/> > \$5,000,001
資金來源 Source of fund:	<input type="checkbox"/> 工資 Salary <input type="checkbox"/> 業務溢利 Profit from Business <input type="checkbox"/> 投資獲取的資本 Capital Gain from Investment <input type="checkbox"/> 租金 Rent <input type="checkbox"/> 退休金 Pension <input type="checkbox"/> 其他, 請說明: _____ Others, please specify:)

衍生產品的認識 KNOWLEDGE OF DERIVATIVES (請在適當空格加 √) (Please tick the appropriate box)
您曾否接受有關結構性或衍生產品的培訓或選修相關課程? Have you ever attended any courses or seminars on structured or derivatives product(s)? <input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No
您現時的工作經驗是否與結構性或衍生產品有關? Has any of your current work experience been related to structured or derivative product(s)? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不是 No
您以往的工作經驗是否與結構性或衍生產品有關? Has any of your previous work experience been related to structured or derivative product(s)?

是 Yes  不是 No

僱主名稱 Name of employer:

在職日期 Relevant employment period:

您曾否有買賣結構性或衍生產品的經驗? Do you ever have any trading experience in structured or derivative product(s)?

有 Yes  沒有 No

請提供您以往有買賣的結構性或衍生產品 Please state the structured or derivative product(s) you traded:

- 牛熊證 Callable Bull/Bear Contracts (CBBC)  交易所買賣基金 Exchange Traded Funds  其他 Others : \_\_\_\_\_
- 衍生認股證 Derivative Warrants  期貨或期權合約交易 Futures and Options  股票期權 Stock Options
- 股票掛勾產品 Equity Linked Instruments / Notes (ELI/ELN)  供股權 Rights
- 交易所買賣換股債券 Exchange Traded Convertible Bonds

您曾否在以往三年內執行過五宗或以上結構性或衍生產品交易? Have you executed five or more transactions in structured or derivative products within the past three years?

有 Yes  沒有 No

#### 客戶聲明和簽署 CLIENT'S DECLARATION AND SIGNATURE

客戶茲聲明在本表內的資料均屬真實，完整及正確。除非偉祿亞太證券有限公司(“偉祿亞太”)收到有關更改資料的書面通知，偉祿亞太有權在任何用途上完全依賴這些資料及聲明。偉祿亞太有權隨時聯絡任何人，包括客戶之銀行、經紀或任何信貸機構，以求證實此表所載之內容。

The Client represents that the information contained in this Form is true, complete and correct. Realord Asia Pacific Securities Limited (“RAPSL”) is entitled to rely fully on such information and representations for all purposes, unless RAPSL receives notice in writing of any changes. RAPSL is authorized at any time to contact anyone, including my / our banks, brokers and credit agency, for the purpose of verifying the information provided on this Form.

**Individual / Primary Joint Account Holder's Signature**  
個人/主要戶口申請人簽署

**Secondary Joint Account Holder's Signature**  
聯名戶口第二申請人簽署

For Joint Account only 聯名戶口適用:

All written instruction of the account should be jointly signed by both account holders  
所有帳戶的書面指示須由兩位帳戶持有人同時簽署

For Office Use Only 內部填寫:

客戶簽署及公司印章 (如適用)

Authorized Signature(s) and Company Chop (if applicable)

S.V

經電話確認 Confirm by phone:

Ext. 內線: \_\_\_\_\_

Date 日期: \_\_\_\_\_

Time 時間: \_\_\_\_\_

#### FOR OFFICE USE ONLY 公司專用

Inputted by:

Checked by:

Approved by:

Date: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_