



**客戶盡職調查表格**  
**Client Due Diligence Form**

致：矩陣證券有限公司 (「矩陣證券」)

To: Matrix Securities Limited (「Matrix Securities」)

<b>賬戶名稱:</b> Name of Account:	<b>賬戶號碼:</b> Account No.:
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本人/吾等 僅此通知矩陣證券更改賬戶資料，請由\_\_\_\_\_ (日期) 起將本人/吾等之個人資料更改如下:

I/We hereby notify Matrix Securities of changing the account information, please change my/our personal particular with effect from \_\_\_\_\_ (Date)

as follows:

**第 1 部份 - 個人客戶適用 For Individual Client**

**個人資料 Personal Information**

<input type="checkbox"/> 住宅地址 Residential Address	(請附上最近三個月之住宅地址證明文件) (Please enclose residential address(es) proof issued within the last 3 months)	
<input type="checkbox"/> 通訊地址 Correspondence Address  (不接受郵政信箱作為通訊地址) (P.O. Box is not accepted)	(請附上最近三個月之通訊地址證明文件) (Please enclose correspondence address(es) proof issued within the last 3 months)	
<input type="checkbox"/> 聯絡號碼 Contact Number	流動電話號碼 Mobile Phone No.	辦公室電話號碼 Office No.
	住宅電話號碼 Home Telephone No.	傳真號碼 Fax No.
<input type="checkbox"/> 電郵地址 Email Address		
<input type="checkbox"/> 工作狀況 Work Status	<input type="checkbox"/> 受僱* Employed <input type="checkbox"/> 自僱/企業主* Self-employed <input type="checkbox"/> 家庭主婦 Housewife  <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 其他，請說明 Others: _____  <input type="checkbox"/> 受僱或自僱請填寫下列受僱/自僱詳情 Employed or Self-employed, please fill in the employment information below	
<input type="checkbox"/> 受僱/自僱資料 Employment Information	僱主名稱 Employer Name: _____  行業 Occupation: _____    職位 Position: _____  受僱年期 Years of Employment: _____  辦公室電話號碼 Office Telephone No.: _____  辦公室傳真號碼 Office Fax No.: _____  辦公室地址 Office Address: _____	

矩陣證券有限公司

**Matrix Securities Limited (CE No. ABS418)**

香港灣仔港灣道23號鷹君中心14樓1406室

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個人財政狀況及投資目標 Personal Financial Status and Investment Objectives

<input type="checkbox"/> 流動資產 (港元) Liquid Assets (HKD)	<input type="checkbox"/> ≤ HKD200,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000	<input type="checkbox"/> HKD200,001 - HKD500,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> 其他 Others: HKD _____
<input type="checkbox"/> 資產淨值 (港幣) Net Worth (HKD)	<input type="checkbox"/> ≤ HKD200,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000	<input type="checkbox"/> HKD200,001 - HKD500,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> 其他 Others: HKD _____
<input type="checkbox"/> 年薪 (港幣) Annual Income (HKD)	<input type="checkbox"/> ≤ HKD200,000 <input type="checkbox"/> HKD400,001 - HKD600,000 <input type="checkbox"/> 其他 Others: HKD _____	<input type="checkbox"/> HKD200,001 - HKD400,000 <input type="checkbox"/> HKD600,001 - HKD1,200,000
<input type="checkbox"/> 資金來源 (可選擇多於一個選項) Source of Funds (May select more than 1 option)	<input type="checkbox"/> 薪金儲蓄 Saving from Salary <input type="checkbox"/> 營業溢利 Trading Profits <input type="checkbox"/> 金融機構貸款 Loan from Financial Institution	<input type="checkbox"/> 家庭 Family <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 其他 Others: _____
<input type="checkbox"/> 住屋 Residence	自置物業 Self-Owned <input type="checkbox"/> 按揭物業 Mortgaged	<input type="checkbox"/> 沒有抵押 Not Mortgaged
	沒自置物業 Not Owned <input type="checkbox"/> 租用物業 Rented <input type="checkbox"/> 與家人同住 Living with Family	<input type="checkbox"/> 宿舍 Quarters
<input type="checkbox"/> 投資目標 (可選擇多於一個選項) Investment Objectives (May select more than 1 option)	<input type="checkbox"/> 短線 Short Term <input type="checkbox"/> 中線 Medium Term <input type="checkbox"/> 長線 Long Term <input type="checkbox"/> 資本增值 Capital Appreciation	<input type="checkbox"/> 股息回報 Dividend Yield <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 其他 Others: _____
<input type="checkbox"/> 估計投資金額 Estimated Investment Amount	<input type="checkbox"/> ≤ HKD200,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000	<input type="checkbox"/> HKD200,001 - HKD500,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> 其他 Others: HKD _____

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## 第2 部份 – 公司客戶適用 For Corporate Client

### 公司資料 Corporate Information

<input type="checkbox"/> 註冊地址 Registered Address	(請附上註冊地址證明文件) (Please enclose registered address proof)	
<input type="checkbox"/> 主要營業地址 Principal Place of Business	(請附上最近三個月之營業地址證明文件) (Please enclose business address proof issued within the latest 3 months)	
<input type="checkbox"/> 聯絡號碼 Contact Number	流動電話號碼 Mobile Phone No.	辦公室電話號碼 Office Telephone No.
	傳真號碼 Fax No	
<input type="checkbox"/> 電郵地址 Email Address		
<input type="checkbox"/> 主要聯絡人 Contact Person	名稱 Name	聯絡號碼 Contact Number
	電郵地址 E-mail Address	
<input type="checkbox"/> 公司行業 Nature of Business		

<input type="checkbox"/> 董事資料 Director(s) Information			
董事姓名 Name(s) of Director(s)	身份證號碼 / 護照號碼 ID Card No. / Passport No.	聯絡號碼 Contact Number	
1)			
2)			
3)			
<input type="checkbox"/> 股東資料 Shareholder(s) Information			
主要股東 Major Shareholder(s)	身份證號碼 / 護照號碼 / 公司註冊號碼 ID Card No. / Passport No. / Company Registration No.	持股比例 Shareholding Percentage	聯絡號碼 Contact Number
1)			
2)			
3)			
最終權益擁有人姓名 Name of Ultimate Beneficial Owner(s)	身份證號碼 / 護照號碼 / 公司註冊號碼 ID Card No. / Passport No. / Company Registration No.	住宅地址 / 註冊地址 Residential Address / Registered Address	國籍/公民身份/註冊國家 Nationality/ Citizenship/ Country of Incorporation
1)			
2)			
3)			

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公司財政狀況及投資目標 Corporate Financial Status and Investment Objectives

<input type="checkbox"/> 法定股本 Authorized Capital		<input type="checkbox"/> 發行股本 Paid-up Capital	
<input type="checkbox"/> 資產淨值 Net Asset Value	根據最近的審計賬目 ____ / ____ 年度 Based on latest audited accounts as at ____ / ____ <input type="checkbox"/> ≤ HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> 其他 Others: HKD _____		
<input type="checkbox"/> 除稅後盈利 Profit after Tax	根據最近的審計賬目 ____ / ____ 年度 Based on latest audited accounts as at ____ / ____ <input type="checkbox"/> ≤ HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> 其他 Others: HKD _____ <input type="checkbox"/> 虧損數額為港幣 Loss with amount at HKD _____		
<input type="checkbox"/> 流動資產 Liquid Assets	<input type="checkbox"/> ≤ HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> 其他 Others: HKD _____		
<input type="checkbox"/> 收入來源 (可選擇多於一個選項) Source of income (May select more than 1 option)	<input type="checkbox"/> 營業溢利 Trading Profits	<input type="checkbox"/> 生產利潤 Manufacturing Profits	
	<input type="checkbox"/> 股息/利息 Dividend/Interest	<input type="checkbox"/> 租金收入 Rental Income	
	<input type="checkbox"/> 服務收入 Service Income	<input type="checkbox"/> 其他 Others: _____	
<input type="checkbox"/> 投資目標 (可選擇多於一個選項) Investment Objectives (May select more than 1 option)	<input type="checkbox"/> 短線 Short Term	<input type="checkbox"/> 股息回報 Dividend Yield	
	<input type="checkbox"/> 中線 Medium Term	<input type="checkbox"/> 對沖 Hedging	
	<input type="checkbox"/> 長線 Long Term	<input type="checkbox"/> 投機 Speculation	
	<input type="checkbox"/> 資本增值 Capital Appreciation	<input type="checkbox"/> 其他 Others: _____	
<input type="checkbox"/> 估計投資金額 Estimated Investment Amount	<input type="checkbox"/> ≤ HKD200,000 <input type="checkbox"/> HKD200,001 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> 其他 Others: HKD _____		

第3部份 - 所有客戶適用 For All Client

其他 Others

<input type="checkbox"/> 銀行戶口資料 Bank Account Information		
銀行名稱 Bank Name	銀行戶口號碼 Bank Account No	貨幣 Currency

<input type="checkbox"/> 其他 (請註明) Others (Please specify)

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**身份聲明 Identity Declaration**

<p>1. 閣下是否此賬戶的最終實益擁有人？ Are you the ultimate beneficial owner(s) in relation to the Account?</p> <p>如否，賬戶的最終實益擁有人是： If no, details of the ultimate beneficial owner(s) is/are: - 名稱 _____ 身份證/護照號碼 Name: _____ ID/Passport No.: _____ 地址 _____ Address: _____</p>	<input type="checkbox"/> 是 Yes  <input type="checkbox"/> 否 No
<p>2. 閣下是否為任何根據證券及期貨條例註冊持牌法團或銀行業條例之註冊機構之僱員 (不管現時是否為證監會持牌代表/香港金融管理局註冊人士)? 如是, 請出示所屬持牌法團或註冊機構之同意信 Are you an employee of a licensed corporation under the Securities and Futures Ordinance or a registered institution under the Banking Ordinance (whether currently a SFC licensed representative/ Hong Kong Monetary Authority registered person or not)? If yes, please provide written consent letter issued by licensed corporation or registered institution.</p> <p>持牌法團 / 註冊機構的名稱 Licensed Corporation / Registered Institution Name: _____ 中央編號 CE no.: _____</p>	<input type="checkbox"/> 是 Yes  <input type="checkbox"/> 否 No
<p>3. 閣下是否與矩陣證券或聯繫人士的職員有親戚關係? Are you a relative of an employee of Matrix Securities or its Associates?</p> <p>如是，職員的名稱是： If yes, name of the employee: _____</p>	<input type="checkbox"/> 是 Yes, 關係 Relationship _____  <input type="checkbox"/> 否 No
<p>4. 閣下是否擔任或曾擔任為重要公職 (例如：國家或政府元首、資深從政者/重要政黨幹事、高級政府官員、高級 司級司法官員、高級軍事官員、國有企業高級行政人員、宗教領袖或以上人士的家人或有聯繫人士) 或在國際組織 (例如聯合國及其從屬國際組織、地區性國際組織、國際軍事組織及經濟組織等) 擔任或曾擔任為重要公職及為高 級管理層 (即董事會的董事、副董事及成員或對等職位)? Are you entrusted or have been entrusted with prominent public functions (e.g. Head of State or of government, senior politicians / important political party officials, senior government officials, senior judicial officials, senior military officials, senior executives of state owned enterprises, religious leaders, or family members or close associates of the above-mentioned parties)? Are you entrusted or have been entrusted with a prominent public functions by an international organization (e.g. UN and affiliated international organizations, regional international organizations, military international organizations and economic organizations etc.) and are member of senior management (i.e. directors, deputy directors and member of the board or equivalent functions)?</p> <p>如是，請說明 If yes, please specify: _____</p>	<input type="checkbox"/> 是 Yes  <input type="checkbox"/> 否 No
<p>5. 閣下是否美國公民或納稅居民*? (注意：美國稅收申報要求，美國人賬戶需要特別審批。) Are you a citizen or tax resident* of the United States? (Note: Due to United States tax reporting requirements, United States persons' accounts require special approval)</p> <p>* 美國納稅居民包括綠卡持有人 (即美國永久居民卡) 以及任何符合實質居所測試 (substantial presence test) 之人 士 (如有需要，請諮詢稅務顧問有關實質居所測試的意見。) United States tax residents include Green Card holder (i.e. holder of United States Permanent Resident card) as well as individual who meets the substantial presence test. (Please seek advice from tax advisor regarding the substantial presence test when necessary.)</p>	<input type="checkbox"/> 是 Yes  <input type="checkbox"/> 否 No
<p>6. 閣下是否香港以外的納稅居民? Are you a tax resident in any place other than Hong Kong?</p> <p>如是，請列出該國家： If yes, please list the country(ies):</p> <p><input type="checkbox"/> 中國 China    <input type="checkbox"/> 澳洲 Australia    <input type="checkbox"/> 台灣 Taiwan    <input type="checkbox"/> 日本 Japan <input type="checkbox"/> 加拿大 Canada    <input type="checkbox"/> 泰國 Thailand    <input type="checkbox"/> 印尼 Indonesia    <input type="checkbox"/> 其他 Others: _____</p>	<input type="checkbox"/> 是 Yes  <input type="checkbox"/> 否 No

客戶簽署 Signature of Client (s)  (請用開戶表格內簽名樣式) (Please sign according to the specimen signature on the Account Opening Form)	日期 Date
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For official use only				
Handled By	Signature Verified By:	Approved By:	Inputted By:	Checked By:
Date:	Date:	Date:	Date:	Date:

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