輝 立 証 券 集 團
Phillip Securities Group
你的投資夥伴

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綜合戶口資料更改書 Account Particulars Amendment Form

僅供現有客戶使用: For Existing Customers Only　　申請日期 Application Date:_____

戶口名稱 Account Name:	戶口號碼 Account No:
經紀名稱 A.E. Name:	經紀編號 A.E. No:
戶口種類 Account Type*: ☐ 股票 Stock ☐ 股票期權 Stock Option ☐ 商品 / 外匯 Commodities / Forex ☐ 貴金屬 Bullion	

A. 居住地址 Residential Address

(如搬遷至其他國家，須提交新的 W-8 表格及自我證明表格，並附上三個月內的住址證明。A new W-8 Form and Self-Certification Form, with address proof issued within 3 months, are required upon relocation to another country.)

□ 本地 Local　□ 海外 Overseas

B. 工作狀況 Employment Status (如此項有任何更新，需填寫C及D。 For any updates of this Part, please also complete Part C and D.)

職業 Occupation	
職位 Job Title	
僱主名稱 Name of Employer	
受僱年期 Employment Period	
辦公室地址 Office Address	

C. 財政狀況 Financial Situation*

流動資產 Liquid Asset:	☐ <HK$100,000 ☐ HK$100,000 – HK$500,000 ☐ HK$500,001 – HK$1,000,000 ☐ HK$1,000,001 – HK$5,000,000 ☐ >HK$5,000,000		
資產淨值 Net Worth:	☐ <HK$100,000 ☐ HK$100,000 – HK$500,000 ☐ HK$500,001 – HK$1,000,000 ☐ HK$1,000,001 – HK$5,000,000 ☐ >HK$5,000,000		
年薪 Annual Income:	☐ <HK$100,000 ☐ HK$100,000 – HK$200,000 ☐ HK$200,001 – HK$500,000 ☐ HK$500,001 – HK$1,000,000 ☐ >HK$1,000,000		
住屋業權 Ownership of Residence:	☐ 擁有 Owned:	☐ 已抵押 Mortgaged	☐ 沒有抵押 Not Mortgaged
	☐ 沒有 Not Owned:	☐ 租住 Rented	☐ 與家人同住 Living with Family

D. 資金來源 Source of Fund *

投資所得 Investment	☐ 銀行利息Bank Deposit ☐ 投資買賣Investment Trading ☐ 其他Other:
租金收入 Rental	☐ 物業 Property ☐ 其他 Other:
儲蓄 Saving	☐ 工作收入Salary ☐ 生意Business ☐ 家庭Family ☐ 其他Other:
借貸 Loan	☐ 金融機構Financial Institution ☐ 親戚Relatives ☐ 其他Other:
其他 Other	

E. 投資取向 Investment Objective *

☐ 賺取收入 Generating income ☐ 資本增長 Capital appreciation ☐ 對沖 Hedging ☐ 投機 Speculation

F. 護照資料 Passport Details (需附上經核證之護照副本。A certified true copy of passport is required.)

護照號碼 Passport No.	
到期日 Expiry Date	

G. 電郵地址 Email Address

H. 銀行入賬戶口 Bank Account Details

(客戶最多可登記三個銀行賬戶口，並另須提供相關銀行證明。個人客戶登記聯名銀行戶口作指定銀行戶口，需額外填寫**附表 1 - 登記聯名銀行戶口作指定銀行戶口申請表。** Clients can register up to three bank accounts and must also provide related bank proof. Individual clients who register a joint bank account as a designated bank account must also complete **Appendix 1 - Joint Bank Account as Designated Bank Account Registration Special Application Form**.)

銀行及戶口號碼 Bank & A/C No.	☐增加Add ☐更改Amend
銀行及戶口號碼 Bank & A/C No.	☐增加Add ☐更改Amend
銀行及戶口號碼 Bank & A/C No.	☐增加Add ☐更改Amend

I. 聯絡電話 Contact No.

住宅電話 Home Phone No.		流動電話 Mobile Phone No.	
辦公室電話 Business Phone No.			

J. 授權人士電話 Authorized Person Contact No.	
獲授權人士姓名及電話 Authorized Person Name & Phone No.	

K. 簽名樣式 Specimen Signature		
網上建立帳戶客戶 Online onboarding client	需提供證明文件核實身分 Need provide identity supporting document	
其他客戶 Other client	現有簽名樣式 Existing Specimen Signature	新簽名樣式 New Specimen Signature

L. 其他更改 Other Amendment	
原本詳情 Current Details	
新詳情 New Details	

I/We acknowledge that 本人 / 吾等確認:

i. The personal data herein shall be used for processing your application for change of account particular. Handling of personal data will be in accordance with the Company 's Personal Information Collection Statement, as stated in the Client Agreement provided upon account opening. 本綜合戶口資料更改書所載之個人資料，僅用作更改戶口資料之用途。所有客戶的個人資料，均會根據本公司客戶協議中的個人資料收集聲明來處理。

ii. The information contained in this Form is true and accurate. Phillip Securities Group is entitled to rely fully on such information for all purposes, unless it receives notice in writing of any change. Phillip Securities Group is authorized at any time to contact anyone, including Client's banks, brokers, or any credit agency, for the purpose of verifying the information provided on this Form. 載於本客戶資料表中的資料是真實及準確。 除非輝立証券集團收到更改資料的書面通知，輝立証券集團有權為任何目的信賴這些資料。輝立証券集團已獲得客戶授權可隨時聯絡任何人，包括客戶的銀行，經紀或任何信用調查機構，藉以核實本客戶綜合戶口資料更改書中所提供的資料。

iii. Phillip Securities Group shall confirm your application by written notice or your Account Executive will inform you of our refusal thereof via telephone no later than 14 working days after receipt of it. 輝立証券集團於收妥閣下申請表後 14 個工作天內以書面形式確認閣下之申請，若客戶之申請不被接納其客戶主任會以電話形式通知閣下。

iv. I acknowledge this amendment request will update all individual account(s) registered under my name with Phillip Securities Group. 本人知悉此更改將更新本人於輝立証券集團所有以個人名義登記的帳戶。

M. 收取電子成交單據及月結單 E-statement Services Application *
本人/吾等申請以電子郵件形式(電郵)收取由輝立証券集團發出下述戶口之綜合帳戶結單及成交單據及月結單 I/We hereby request to receive the combined statement of account and contract notes and monthly statement of account via electronic mail (e-mail) from Phillip Securities Group for my: ☐ 全部戶口 All Account(s) ☐ 股票及股票期權戶口 Stock Account and Stock Option Account ☐ 期貨戶口 Futures Account 到以下電郵地址:_____(請以大階填寫 please write in capital letters)

I/We apply for E-statement Services and acknowledge that 本人/吾等申請收取電子成交單據及月結單並確認:

i. the application will take 7 working days to process; 該申請需時 7 個工作天以作處理;

ii. once the application is processed, I/we would no longer receive a hard copy of the combined statement of account and contract notes and monthly statement of account; 一經申請，本人/吾等將不會收到任何綜合帳戶結單、成交單據及月結單的印刷本;

iii. if there is any discrepancies between the above-stated e-mail address and the one maintained in our record (if any), the former shall replace the latter in our record; 如上述電郵地址與客戶舊有的電郵地址不同，將會以上述電郵地址作準;

iv. Phillip Securities Group shall not be responsible for any delay or failure in the transmission, receipt of information due to either a breakdown or failure of transmission of communication facilities, or any unreliable medium of communication or to any uncontrollable or unanticipated caused or other causes; and 輝立証券集團無須因任何通訊設施發生故障或傳送失靈，或因任何不完全可靠之通訊媒介，或非本公司控制範圍或預測之任何其他原因所造成傳訊或收取資訊之延誤負責; 及

v. In the event of any conflict between any provisions of the Chinese and English versions of the Form, the English version shall prevail. 如本表格的中、英文本出現分歧，以英文藍本為準。

* 請選擇適合空格 Please tick in appropriate box (es)

個人/主要帳戶持有人名稱: Individual/Primary Joint Holder's Name:		聯名帳戶第二持有人名稱: Secondary Joint Account Holder's Name:	
個人/主要帳戶持有人簽署: Individual/Primary Joint Holder's Signature:		聯名帳戶第二持有人簽署: Secondary Joint Account Holder's Signature:	

Office Use Only
For amendments to particulars contained in Part A (overseas address), B, C, D or J, the <u>designated approver</u> should re-assess the client's AML risk level AND confirm the identification document have certified by AE/dealer (Part E and Part J). Updated AML Risk Level: ☐ Low ☐ Medium ☐ High Certified True Copy: ☐ Name: Signature: Date:
Settlement Input Name: Signature: Date:

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登記聯名銀行戶口作指定銀行戶口申請表
Joint Bank Account as Designated Bank Account Registration Special Application Form

在一般情況下，公司禁止第三者存款/提款。
Under normal circumstances, the Company does not allow third party deposit/withdrawal.

To: ☐ 輝立証券(香港)有限公司 Phillip Securities (Hong Kong) Limited ☐ 輝立商品(香港)有限公司 Phillip Commodities (HK) Limited ☐輝立金業有限公司 Phillip Bullion Limited

帳戶號碼 Account No.：_____ **帳戶持有人姓名 Name of Account Holder：**_____

另一位聯名銀行戶口持有人之個人資料 The Other of Joint Bank Account Holder

姓名 Name	**身份證/ 護照號碼 (請附上證明文件) ID / Passport No. (as enclosed)**	**與帳戶持有人關係 Relationship with Account Holder**	**輝立帳戶號碼 Account No. in the Company**
			帳戶號碼 Account No.：_____ ☐Not the Company's client 不是輝立客戶

聯名銀行戶口號碼 (需提供銀行戶口證明)
Joint Bank Account Number (Please Provide Bank Proof) ：_____

登記聯名銀行戶口作指定銀行戶口理由
Reason for using Joint Bank Account as Designated Bank Account Registration：_____

(1) 如另一位聯名銀行戶口持有人**不是輝立客戶**，申請人(輝立帳戶持有人)及另一位聯名銀行戶口持有人應在以下位置簽署確認上述資料。
If the Other Joint Bank Account Holder is **not the Company's client**, the applicant (Account Holder in the Company) and the Other Joint Bank Account Holder should sign below to confirm the above mentioned details.

或 OR

(2) 如另一位聯名銀行戶口持有人**為輝立客戶**，申請人(輝立帳戶持有人) 應在以下位置簽署或透過登記電郵/電話確認上述資料。
If the Other Joint Bank Account Holder is **the Company's client**, the applicant (Account Holder in the Company) should sign below or through registered email/by phone to confirm the above mentioned details.

I/We declare that the above information provided is true and the joint bank account belongs to the account holders stated above. I/We confirm that all joint bank account holders are aware of this designated bank account registration.
In consideration of this designated bank account registration arrangement or deposit from/withdrawal to this designated bank account, I/we shall jointly and severally hold your company free from any claims and/or liabilities whatsoever in connection therewith and shall jointly and severally fully indemnify your company against all expenses, losses and damages whatsoever incurred as a result thereof.
我/我們謹此聲明，上述資料完全真實，此聯名銀行戶口屬上述帳戶持有人所有。我/我們確認所有聯名銀行戶口持有人知悉此聯名銀行戶口作指定銀行戶口之登記。
我/我們同意 貴公司毋須對此聯名銀行戶口作指定銀行戶口之登記及日後經此銀行戶口之存款/提款承擔索償和/或責任，並承諾會對任何有關的費用、損失及損害負上個別及共同連帶的責任。

_____ **申請人(輝立帳戶持有人)簽署**
Signature of Applicant (Account Holder in the Company)

日期 Date：_____/_____/_____
日 Day 月Month 年Year

_____ **另一位聯名銀行戶口持有人簽署**
Signature of the Other Joint Bank Account Holder

日期 Date：_____/_____/_____
日 Day 月Month 年Year

For office use only

Documents Checklist:
☐ Bank proof
☐ Explain their relationship (AML high clients have to provide supporting documents)
☐ Identity document of the joint bank account holder
The Company's Client:
☐ Email from the registered email / Recording **Date & Time:**_____, **Ext:**_____, **Dealer/ AE Name:** _____
☐ Checked the Identity document match the account in the Company

Checked by:	AML Checking Performed by:		Approved by:
Name of DO Date:	Name of Settlement Date:	Name of Compliance Date:	Name of MLRO Date:

Note:
1. Settlement to check PEP, KYC, ID of 3rd party, supporting document and scan a copy for record. If there is any compliance issue, settlement should pass to compliance for further handling.
2. Approved completed form send to Head of Settlement for central filing.
3. For joint bank account that any one of the joint bank account owners is not the Company's client to deposit fund/withdraw fund/as a designated bank must register the joint bank account as the designated bank account by providing (i) bank proof, (ii) identity document of the bank account holder (not the Company's client) and (iii) explain their relationship.
4. For joint bank account that all of the joint bank account owners are the Company's clients, the Account Holder should either sign this form or through registered email/ by phone to confirm the above mentioned details.
5. **AML high clients have to provide supporting documents to prove the relationship between those joint bank Account Holders.