



附件 3 - 政治人物問卷調查
Appendix 3 – Politically Exposed Persons Questionnaire

感謝您對富強證券有限公司的支持。請提供資料以確定閣下是否為政治人物，以作開戶審查之用途。

Thank you for your interest in Fortune (HK) Securities Limited ("FSL"). On review of your account opening application, please provide information to determine whether you may fall into the designation of a Politically Exposed Person ("PEP").

政治人物可以被定義為下列一項或多項： A PEP can be defined as one or more of the following:	該定義同時包括該個人的下列家庭成員及夥伴： The definition also includes the following family members and associations of such an individual:
<ul style="list-style-type: none"> ■ a head of state or government, minister and deputy or assistant minister 國家或政府元首，部長及副部長或助理部長 	<ul style="list-style-type: none"> ■ the spouse or partner of such an individual 該個人的配偶或伴侶
<ul style="list-style-type: none"> ■ a senior politician 資深從政者 	<ul style="list-style-type: none"> ■ a child of such an individual 該個人的子女
<ul style="list-style-type: none"> ■ a member of the executive council of government or member of legislature or parliament 政府的行政會議成員或立法會或議會成員 	<ul style="list-style-type: none"> ■ the mother or father of such an individual 該個人的母親或父親
<ul style="list-style-type: none"> ■ an ambassador or an ambassador's attaché or counselor 大使或大使的隨員或輔導員 	<ul style="list-style-type: none"> ■ the spouse or partner of a child of such an individual 該個人子女的配偶或伴侶
<ul style="list-style-type: none"> ■ a military officer with a rank of general, equivalent or above 職級等同上將或以上的軍官 	<ul style="list-style-type: none"> ■ the mother or father of such individual's spouse or partner 該個人配偶或伴侶的母親或父親
<ul style="list-style-type: none"> ■ a senior executive of a state-owned corporation 國有企業的高級行政人員 	<ul style="list-style-type: none"> ■ a brother, sister, half-brother or half-sister of such individual 該個人的兄弟，姐妹，同父異母或同母異父的兄弟或姐妹
<ul style="list-style-type: none"> ■ an important political party official 重要政黨幹事 	<ul style="list-style-type: none"> ■ any individual publicly or otherwise known to be a close personal or professional associate of the individual 任何個人公開或以其他方式為該個人密切的私人的或專業夥伴
<ul style="list-style-type: none"> ■ a head of a government agency 政府機構元首 	

根據上述的標準，您或任何與富強證券的交易帳戶有聯繫的個人，是否現在或曾經符合上述政治人物的標準？
In respect to above criterion, are you or any individual associated with the trading account, whether now or have ever met the above criterion for a politically exposed person?
 否 No 是 Yes
 如果您回答是，請填寫以下資料 If you answered yes, please complete the following information:

被確定為政治人物的名稱 Name of the PEP	
管轄權及職位 Jurisdiction & Position	
在職年期 (日/月/年 至 日/月/年) Service Period (DD/MM/YY to DD/MM/YY)	
關係 Relationship	
帳戶持有人的財富來源 Source of Wealth of the account holder	
注資帳戶的資金來源 Source of Funds used to fund account	
帳戶的預期交易量 Expected trading volume	

客戶確認所提供的資料準確無誤及為事實之全部，如有任何資料更改將於 7 天內通知富強證券有限公司。問卷中英文版本如有任何差異，一切以英文版本為準。Client confirms to FSL the information provided in this questionnaire is complete and correct in all respects, and will notify the FSL within 7 days for any changes. The English version prevails, for any discrepancies in between English and Chinese narrations.

賬戶持有人姓名 Name of Account Holder		簽署 Signature
賬戶號碼 Account No.		
日期 Date		