

Knowing You Better – Customer Profile Confirmation

讓我們更了解您 – 客戶資料確認

In order to provide you with a higher standard of service and to comply with applicable legal and regulatory requirements, we would like to update your customer record with EBSI Group¹. Please read the “IMPORTANT NOTES” in the grey box below, then complete this form and return the completed form to us either by facsimile at +852 3920 2789 or by mail to *Everbright Securities International, 33/F, Everbright Centre, 108 Gloucester Road, Wan Chai, Hong Kong (Attn.: Operations Department - Customer Service Team)*.

為了提供更優質的服務及遵從適用法律及規管性之規定，光大證券國際集團¹希望能定期更新閣下的客戶資料。懇請閣下先參閱以下灰格內之「重要備註」部分及填妥以下表格，並將已填妥之表格傳真至+852 3920 2789或郵遞至香港灣仔告士打道 108 號光大中心 33 樓，光大證券國際營運部客戶服務組收。

If you have any questions, please contact your Wealth Manager or call our Customer Service Hotline on +852 2822 5001 (Hong Kong), +853 6262 5028 (Macau) or +86 40011 95525 (Mainland).

如有任何查詢，請聯絡閣下的客戶經理或致電我們的客戶服務熱線+852 2822 5001 (香港) · +853 6262 5028 (澳門) 或+86 40011 95525 (內地)。

IMPORTANT NOTES 重要備註：

(i) Please only answer those questions which you have not answered before or if the relevant information which you previously provided to us has changed but you have not yet informed us of the change(s).

若閣下從未向本公司就有關問題提供資料，或閣下的有關資料已更改而沒有通知本公司，請回答有關問題。

(ii) If you maintain more than one account with EBSI Group¹ and your answer(s) to the question(s) below is/are specific to a particular account, please indicate so beside the answer(s), or fill in a separate form for each account.

若閣下在光大證券國際集團¹開立多於一個帳戶，而閣下個別問題的回覆乃針對閣下某帳戶的情況，敬請在該回覆旁邊說明所指的帳戶，或就閣下每一帳戶分別填報此表格。

(iii) We will assume there is no change to your relevant information if a question is not answered.

如閣下就個別問題未有提供資料，我們會視為閣下的有關資料並無更改。

¹ “EBSI Group” refers to China Everbright Securities International Company Limited together with its subsidiaries and associated companies, collectively referred to as “Everbright Securities International”. 光大證券國際集團指中國光大證券國際有限公司及其附屬公司及聯營公司，統稱「光大證券國際」。

INDIVIDUAL ACCOUNT 個人帳戶

Account Holder Name 帳戶持有人姓名： _____ Account No(s). 帳戶編號： _____ (the “Account(s)”) _____

Wealth Manager 客戶經理： _____

SECTION A 第一部分：Particulars of the Customer 客戶資料

Has there been any change to your personal particulars 閣下之個人資料是否有改變？

Yes 是 → Please answer the relevant question(s) in this section 請回答此部分之相關問題

No 否 → Please go to Section B 請跳到第二部分

(A1) Residential Address 住宅地址*

Flat 室	Floor 樓數	Block 座數	House 樓/Building 大廈	Estate 屋邨/Garden 花園
No. and Name of Street 門牌號數及街道名稱			District 分區/Area 地區	Country 國家

Nature of Occupancy 住宅類別 (Note 註)：

Owned 自置 Rented 租用 Family Property 家人物業 Quarter 宿舍
 Others 其他 (Please specify 請說明: _____)

(A2) Permanent Address 永久地址 (Note 註)：

Same as Residential Address 與住宅地址相同
 Otherwise, please specify 若與住宅地址不同，請說明*：

Flat 室	Floor 樓數	Block 座數	House 樓/Building 大廈	Estate 屋邨/Garden 花園
No. and Name of Street 門牌號數及街道名稱			District 分區/Area 地區	Country 國家

(A3) Nationality 國籍**： _____

(A4) Home Tel No. 住宅電話號碼： (_____) _____

(A5) Mobile Phone No. 手提電話號碼： (_____) _____

* Please provide proof of your new address (e.g. utility bill or bank statement issued within the last 3 months). 請提供上述已更新的地址之證明 (如最近三個月內發出的水 / 電 / 煤氣費單或銀行月結單)。

** Please provide a copy of the ID document which shows your new nationality. 請提供上述已更新國籍之身份證文件的副本。

◇ Please tick the appropriate box 請在合適的方格內打勾

Note 註： Please choose one of the options only 請只選擇其中一項

(A6) Email Address 電子郵件地址：_____ Fax No. 傳真號碼：(_____)_____

(A7) Employer (if self-employed, please state "self-employed" and the relevant trading/company name)

僱主(如屬自僱, 謹請註明「自僱」及經營/公司名稱): _____

(A8) Nature of Business of Employer 僱主業務性質：_____ (A9) Position 職位：_____

(A10) Years of Service with Employer 服務僱主年期：_____

(A11) Business/Office Address 營業/辦公地址：_____

Flat 室	Floor 樓數	Block 座數	House 樓/Building 大廈	Estate 屋邨/Garden 花園
No. and Name of Street 門牌號數及街道名稱			District 分區/Area 地區	Country 國家

Tel. No. 電話號碼: (_____)_____

(A12) Correspondence Address 通訊地址 (Note 註) :

- Same as Residential Address 與住址相同
 Same as Business/Office Address 與營業/辦公地址相同
 Other address, please specify 其他地址, 請說明 : _____

Flat 室	Floor 樓數	Block 座數	House 樓/Building 大廈	Estate 屋邨/Garden 花園
No. and Name of Street 門牌號數及街道名稱			District 分區/Area 地區	Country 國家

(A13) Marital Status 婚姻狀況 (Note 註) :

- Single 未婚
 Married with child(ren) 已婚有子女
 Married without child(ren) 已婚未有子女
 Others 其他

(A14) Education Level 學歷 (Note 註) :

- Primary or below 小學或以下
 Secondary 中學
 Post secondary 預科/專上學院
 University or above 大學或以上

SECTION B 第二部分: Financial Profile 財務概況

Has there been any change to your financial profile 閣下之財務概況是否有改變?

- Yes 是 → Please answer the relevant question(s) in this section 請回答此部分之相關問題
 No 否 → Please go to Section C 請跳到第三部分

(B1) Have you changed your investment objective, investment experience, investment horizon and/or risk tolerance level?

閣下的投資目標、投資經驗、投資期及/或可承受風險程度是否有改變?

- Yes 是 → Your Wealth Manager will contact you to complete EBSI Group's Customer Profiling Questionnaire
 閣下之客戶經理將會聯絡閣下完成本公司的客戶分析問卷
 No 否

(B2) Annual Income (HK\$) 每年收入(以港元計) (Note 註) :

- ≤ \$250,000
 \$250,001 - \$500,000
 \$500,001 - \$1,000,000
 \$1,000,001 - \$10,000,000
 \$10,000,001 - \$50,000,000
 \$50,000,001 - \$100,000,000
 > \$100,000,000

(B3) Net Assets (HK\$) 資產淨值(以港元計) (Note 註) :

- ≤ \$50,000
 \$50,001 - \$200,000
 \$200,001 - \$500,000
 \$500,001 - \$1,000,000
 \$1,000,001 - \$5,000,000
 \$5,000,001 - \$10,000,000
 \$10,000,001 - \$40,000,000
 \$40,000,001 - \$80,000,000
 \$80,000,001 - \$100,000,000
 > \$100,000,000

(B4) Liquid Assets (HK\$) 流動資產(以港元計) (Note 註) :

- ≤ \$50,000
 \$50,001 - \$200,000
 \$200,001 - \$500,000
 \$500,001 - \$1,000,000
 \$1,000,001 - \$5,000,000
 \$5,000,001 - \$10,000,000
 \$10,000,001 - \$40,000,000
 \$40,000,001 - \$80,000,000
 \$80,000,001 - \$100,000,000
 > \$100,000,000

(B5) Ongoing Source(s) of Wealth 持續財富來源 :

- Salary and/or bonus 薪金及/或花紅
 Savings 儲蓄
 Business income 業務收入
 Return on investment 投資回報
 Retirement funds 退休金
 Inheritance or gift 遺贈或禮物
 Others 其他 (Please specify 請說明: _____)

Note 註 : Please choose one of the options only 請只選擇其中一項

(B6) Expected Source(s) & Origin of Funds 資金的預期來源及源頭：

(a) Expected Source(s) of Funds 資金的預期來源：

- Salary and/or bonus 薪金及 / 或花紅 Savings 儲蓄 Business income 業務收入
 Return on investment 投資回報 Retirement funds 退休金 Others 其他 (Please specify 請說明: _____)

(b) Country(ies) of Origin(s) of Funds 資金來源地：

- Hong Kong 香港 Mainland China 中國內地 Macau 澳門 Singapore 新加坡
 United States 美國 Canada 加拿大 Others 其他 (Please specify 請說明: _____)

SECTION C 第三部分：General Information 一般資料

(C1) Are you the person who is ultimately responsible for originating instructions (trading and/or others) for the Account(s) (the "Originator")?

閣下是否為帳戶之最終負責作出指示 (交易及 / 或其他指示) 的人士？

- Yes 是 No. Please provide Name(s) & ID/ Passport No(s) of the Originator(s).
 否。請提供最終負責作出交易及 / 或其他指示的人士的姓名及身份證或護照號碼。

(C2) Are you the person who stands to gain the commercial or economic benefit of transactions of the Account(s) and/or bears its / their commercial or economic risk (i.e. "Beneficial Owner")? 閣下是否代表帳戶收取交易的商業或經濟利益及 / 或承擔其商業或經濟風險的人士 (即「實益擁有人」)？

- Yes 是 No. Please provide Name(s) & ID/Passport No(s) of the Beneficial Owner(s).
 否。請提供實益擁有人的姓名及身份證或護照號碼。

(C3) Are you the only person with authority to operate the Account(s) (the "Authorized Person")? 閣下是否唯一有權操作此帳戶的人士？

- Yes 是 No. Please provide Name(s) & ID/ Passport No. of the Authorized Person(s).
 否。請提供有權操作帳戶的人士的姓名及身份證或護照號碼。

(C4) Are you 閣下是否：

(i) a senior officer or director of any (listed) company whose shares are traded on any exchange or market? (If yes, please specify the company name and stock code.)
 任何其股份在交易所或市場買賣的(上市)公司之高級人員或董事？(如是，請說明公司名稱及上市編號。)

- Yes 是 (_____) No 否

(ii) a person licensed by or registered with the Hong Kong Securities and Futures Commission[^] or an employee of such a person? (^If yes, please specify your CE no.)
 香港證券及期貨事務監察委員會持牌或註冊人士[^]或該人士之僱員？(^如是，請說明閣下的中央編號。)

- Yes 是 (_____) No 否

(iii) a relative of the Wealth Manager responsible for the Account(s)? (If yes, please state the relationship)
 帳戶之負責客戶經理之親屬？(如是，請陳述與之關係)

- Yes 是 (_____) No 否

(C5) Are (i) you; and/or (ii) your spouse, partner, child(ren) and/ or parent(s); and/or (iii) spouse(s) or partner(s) of your child(ren); and/or (iv) your close associate(s)^{^^}:

(i) 閣下；及 / 或 (ii) 閣下之配偶、伴侶、子女及 / 或父母；及 / 或 (iii) 閣下子女的配偶或伴侶；及 / 或 (iv) 與閣下關係密切的人^{^^} 是否：

entrusted with prominent public functions (e.g. Head of State or of government, senior politicians/ important political officials, senior government officials, senior judicial officials, senior military officials, senior executives of state owned enterprise, important political party official or religious leaders) or entrusted with a prominent function by an international organization^{^^^} (e.g. members of senior management, directors, deputy directors and members of the board or equivalent functions)? (If yes, please specify.)

擔任重要公職 (例如：國家或政府元首、重要政客、高級政府官員、高級司法人員、高級軍官、國有企業高級行政人員、重要政黨幹事或宗教領袖)或在國際組織^{^^^}擔任重要職位 (例如：高級管理層、董事、副董事及董事會成員或等同的職位)？(如是，請說明。)

- Yes 是 (_____) No 否

^{^^} a person is a "close associate" of an individual if the person is 如某人符合以下說明，該人即屬與某名個人 (首述個人) 關係密切的人：

- (a) an individual who has close business relations with the first-mentioned individual, including an individual who is a beneficial owner of a legal person or trust of which the first-mentioned individual is also a beneficial owner; or
 該人是與首述個人有密切業務關係的個人 (在首述個人屬某法人或信託的實益擁有人的情況下，包括同樣屬該法人或信託的實益擁有人的個人)；或
- (b) an individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the first-mentioned individual.
 該人是屬某法人或信託的實益擁有人的個人，而該法人或信託是為首述個人的利益而成立的。

^{^^^} international organizations are entities established by formal political agreements between their member States that have the status of international treaties; their existence is recognized by law in their member countries; and they are not treated as resident institutional units of the countries in which they are located. 國際組織是成員國之間按具備國際條約地位的正式政治協議成立的實體；其地位獲成員國的法律認可；及它們不被視為所處國家的常駐機構單位。

(C6) This question only applies to customer(s) who maintain(s) margin securities trading account(s) with EBSI Group¹

此問題只適用於在光大證券國際集團¹ 持有孖展證券交易帳戶的客戶

(i) Is your spouse a margin client of any company of EBSI Group¹? (If yes, please provide details.)

閣下的配偶是否光大證券國際集團¹ 之任何公司的孖展客戶？(如是，請詳細說明。)

- Yes 是 (_____) No 否

(ii) Do you alone or jointly with your spouse control 35% or more of the voting rights of a corporate margin client of any company of EBSI Group¹? (If yes, please provide details.) 閣下是否單獨或與配偶共同控制光大證券國際集團¹之任何公司的一個孖展公司客戶35%或以上的表決權? (如是, 謹請詳細說明。)

Yes 是 () No 否

(iii) Are/ were you at any time during the past 12 months, directly or indirectly (e.g. through a body corporate), whether or not together with other person(s) and/or entity(ies), connected or associated with any director (including any ex-director within the past 12 months), chief executive or substantial shareholder² of any company of EBSI Group¹ ("Connected Person")³? If yes, please provide such details as requested by EBSI Group¹.

閣下是否現在或於過去十二個月內任何時間, 直接或間接 (例如: 透過一法人團體), 不論是否聯同其他人士及 / 或實體, 跟光大證券國際集團¹之任何公司的任何董事 (包括過去十二個月內之前董事)、行政總裁或主要股東²有所關連(「有關連人士」)³? (如是, 請提供光大證券國際集團¹所要求的詳情)

Yes 是 () No 否

(iv) (a) To your best knowledge, are you a beneficial owner of another client's (other than your spouse) margin account(s) under EBSI Group¹? 就您所知, 您是否另一名光大證券國際集團¹孖展客戶 (配偶除外) 的實益擁有人?

Yes 是 No 否

(b) If "Yes" is selected in (iv)(a) above, please provide details of the above-mentioned margin client(s):

如果在上述(iv)(a)中選擇了「是」, 請提供上述孖展客戶的詳情:

Name Identity Card/Passport/Certificate of Incorporation No.
姓名: _____ 身份證 / 護照 / 公司註冊證書號碼: _____

HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照

Others (Please specify) 其他 (請註明): _____

Name Identity Card/Passport/Certificate of Incorporation No.
姓名: _____ 身份證 / 護照 / 公司註冊證書號碼: _____

HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照

Others (Please specify) 其他 (請註明): _____

(v) (a) To your best knowledge, are you a guarantor of other margin client(s) of EBSI Group¹ for their financial liabilities under any guarantee arrangement(s)? 就您所知, 您是否在任何擔保安排下為其他光大證券國際集團¹孖展客戶的財務負債作為擔保人?

Yes 是 No 否

(b) If "Yes" is selected in (v)(a) above, please provide the details of the above-mentioned margin client(s) of EBSI Group¹:

如果在上述(v)(a)中選擇了「是」, 請提供上述孖展客戶的詳情:

Name Identity Card/Passport/Certificate of Incorporation No.
姓名: _____ 身份證 / 護照 / 公司註冊證書號碼: _____

HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照

Others (Please specify) 其他 (請註明): _____

Name Identity Card/Passport/Certificate of Incorporation No.
姓名: _____ 身份證 / 護照 / 公司註冊證書號碼: _____

HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照

Others (Please specify) 其他 (請註明): _____

(c) To your best knowledge, do you have any financial liabilities under your margin account(s) which are subject to any guarantee arrangement(s)? 就您所知, 您的孖展帳戶下的財務負債是否有任何擔保安排?

Yes 是 No 否

(d) If "Yes" is selected in (v)(c) above, is the above-mentioned guarantor(s) a margin client(s) of EBSI Group¹?

如果在上述(v)(c)中選擇了「是」, 上述擔保人是否光大證券國際集團¹的孖展客戶?

Yes 是 No 否

(e) If "Yes" is selected in (v)(d) above, please provide details of the above-mentioned guarantor(s):

如果在上述(v)(d)中選擇了「是」, 請提供上述擔保人的詳情:

Name Identity Card/Passport/Certificate of Incorporation No.
姓名: _____ 身份證 / 護照 / 公司註冊證書號碼: _____

HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照

Others (Please specify) 其他 (請註明): _____

Name Identity Card/Passport/Certificate of Incorporation No.
姓名: _____ 身份證 / 護照 / 公司註冊證書號碼: _____

HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照

Others (Please specify) 其他 (請註明): _____

² "substantial shareholder" means in relation to a company, a person who is entitled to exercise, or control the exercise of, 10% or more of the voting power at any general meeting of that company.

「主要股東」指, 就一間公司而言, 任何人士其於該公司之任何股東大會擁有權行使, 或可控制行使, 10%或以上之投票權。

³ Examples of Connected Person include a spouse, child (legitimate or not, natural or adopted), step-child (legitimate or not, natural or adopted), parent, father-in-law, mother-in-law, son-in-law, daughter-in-law, grandparent, grandchild, uncle, aunt, cousin, brother-in-law, sister-in-law, nephew and niece of the above-mentioned director, ex-director, chief executive or substantial shareholder, a trustee of or for any of the foregoing persons and a partner of any of the foregoing persons and a partner of any of the foregoing persons (including any aforesaid trustee).

有關連人士例子包括上述董事、前董事、行政總裁或主要股東之配偶、子女 (不論是否合法, 親生或領養)、繼子女 (不論是否合法, 親生或領養)、父母、配偶的父母、子女的配偶、祖父母、外祖父母、孫及外孫、父母的兄弟姐妹及其配偶、堂兄弟姐妹、表兄弟姐妹、兄弟姐妹的配偶、配偶的兄弟姐妹、以及兄弟姐妹的子女、任何前述人士的或為任何前述人士的受託人及任何前述人士 (包括任何前述受託人) 的合夥人。

(f) If "No" is selected in (v)(d) above, to your best knowledge, are you aware of other margin client(s) of EBSI Group¹ whose financial liabilities are guaranteed by the above-mentioned guarantor(s)? 如果在上述(v)(d)中選擇「否」，就您所知，您是否知悉有其他光大證券國際集團¹孖展客戶，其財務負債由上述同一擔保人作擔保？

Yes 是 No 否

(g) If "Yes" is selected in (v)(f) above, please provide the details of the above-mentioned margin client(s) of EBSI Group¹:

如果在上述(v)(f)中選擇了「是」，請提供上述光大證券國際集團¹孖展客戶的詳情：

Name Identity Card/Passport/Certificate of Incorporation No.
姓名： 身份證 / 護照 / 公司註冊證書號碼：

HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照

Others (Please specify) 其他 (請註明) : _____

Name Identity Card/Passport/Certificate of Incorporation No.
姓名： 身份證 / 護照 / 公司註冊證書號碼：

HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照

Others (Please specify) 其他 (請註明) : _____

For questions (C1) to (C3) above, if the answer is different from our record, we will ask you to sign and return to us a written declaration. Please also submit the following documents for each of the Originator(s), Beneficial Owner(s) and/or Authorized Person(s): copies of their HKID or passport or such other official identification document acceptable to EBSI Group¹; and a utility bill or bank statement issued within the last 3 months in order to verify the name and address of each of the Originator(s) and/or Beneficial Owner(s).

如上述問題 (C1) 至 (C3) 之答案與本公司紀錄不同，本公司將會與閣下聯絡並安排簽署有關的書面聲明。請同時遞交每一位最終負責作出交易指示的人士、實益擁有人及 / 或有權操作此帳戶的人士的有關文件：香港身份證、護照或光大證券國際集團¹接納的其他身份證明文件副本及證明每一位最終負責作出交易指示的人士及 / 或實益擁有人之姓名及地址的最近三個月內發出的水 / 電 / 煤氣費單或銀行月結單。

SECTION D 第四部分：Customer Acknowledgement 客戶確認

I, the undersigned, confirm that all the information provided in or otherwise in connection with this *Knowing You Better – Customer Profile Confirmation* is, and in respect of any information provided hereafter, shall be, at the time of provision, true, accurate, complete and up-to-date and in compliance with all applicable legal and regulatory requirements. I undertake to notify the relevant EBSI Group¹ entity immediately in writing of any change(s) to any of the aforesaid information. I understand and agree that unless otherwise indicated by the relevant EBSI Group¹ entity in writing, any such change will not come into effect until 5 working days after the actual receipt of the relevant written notification by the relevant EBSI Group¹ entity. The relevant EBSI Group¹ entity and other group members of EBSI Group¹ may contact any persons or entities, including but not limited to banks, brokers or credit agencies for verification of any of the information provided (or any part of it).

本人，即以下簽署人，確認本人現時及其後於此「讓我們更了解您 - 客戶資料確認」或與其有關所提供之資料皆為真實、準確、完整、最新及遵從所有適用法律及規管性之規定。如所提供的資料有任何更改，本人承諾立即以書面通知相關的光大證券國際集團¹公司。本人明白及同意除非由相關的光大證券國際集團¹公司另作書面知會，否則該資料更改只會於相關的光大證券國際集團¹公司確實收到有關之書面通知當日起計五個工作天後才會生效。相關的光大證券國際集團¹公司及其他光大證券國際集團成員可聯絡任何人士或實體，包括並不限於銀行、證券行或信貸機構以核實閣下提供之資料（或其任何部分）。

Agreed by the undersigned[#] 同意並簽署如下[#]

_____ Date 日期 _____

(DD日 / MM月 / YYYY年)

[#] This should be the same as the specimen authorized signature(s) that you previously provided to us.

必須與閣下之前提供本公司的授權簽署式樣相同。

Note 註：If necessary, please make an additional copy of this form or attach separate sheets. 如需要，請複製此表格或使用附件。

SECTION E 第五部分 : For Office Use Only 只供內部使用

Signature verified by:	Input by:	Checked by:
Date:	Date:	Date:

Verification conducted by Sales Management:	
Means: <input type="checkbox"/> Email or <input type="checkbox"/> Call or <input type="checkbox"/> Face to face Confirmation call or email received by: _____ Name Staff ID: SFC CE No. (if applicable):	(Applicable only if verification cannot be conducted) Approved by RO or Sales Heads (Sales Department): _____ Name: Date (dd/mm/yy):
Date & time of receipt of confirmation from client: _____ Channel No. (applicable to Call):	