

Changjiang Securities Brokerage (HK) Limited
(“CJSBHK”)
長江證券經紀(香港)有限公司(「長江證券經紀」)
(CE No 中央編號: **AXY608**)

Client Profile Confirmation Form (For Corporate Account)
客戶資料確認表格 (公司客戶)

To 致 **Changjiang Securities Brokerage (HK) Limited**
長江證券經紀(香港)有限公司

Account No.:

帳戶號碼: _____

Account Information 帳戶資料

Account Name:

帳戶姓名: _____

IMPORTANT NOTES 重要備注

1. Please only answer those questions which you have not answered before OR if the relevant information which you previously provided to Changjiang Securities Brokerage (HK) Limited (collectively known as “CJSBHK” or “us”) has changed but you have not yet informed CJSBHK of the change(s).
若貴公司從未向長江證券經紀(香港)有限公司 統稱「長江證券經紀」或「我們」 就有關問題提供資料, 或貴公司的有關資料已更改而沒有通知長江證券經紀, 請回答有關問題。

2. If you maintain more than one account with CJSBHK 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.
若貴公司在長江證券經紀開立多於一個帳戶, 而貴公司就個別問題的回覆乃針對貴公司某帳戶的情況, 敬請在該回覆旁邊說明所指的帳戶, 或就貴公司每一帳戶分別填報此表格。

3. We will assume there is no change to your relevant information if a question is not answered.
如貴公司就個別問題未有提供資料, 我們會視為貴公司的有關資料並無更改。

4. Please complete in Block Letters and tick where applicable.
請用正楷填寫, 並在適當地方加上剔號。

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

如貴公司就個別問題未有提供資料, 我們會視為貴公司的有關資料並無更改。

4. Please complete in Block Letters and tick where applicable.

請用正楷填寫, 並在適當地方加上剔號。

Please answer the following questions and complete relevant part(s) of this form. 請貴公司回答以下問題, 並根據指示填妥此表格之相應部份:

1. Has there been any change to your company information 貴公司之資料是否有改變?

Yes 是 → Please answer the relevant question(s) in **Part 1** 請回答**第 1 部份**之相關問題

No 否

2. Has there been any changes to your company business nature, financial & Investment profile 貴公司之業務性質、財務及投資狀況是否有改變?

Yes 是 → Please answer the relevant question(s) in **Part 2** 請回答**第 2 部份**之相關問題

No 否

3. Has there been any change to the corporate structure and client authorization 貴公司之公司結構及客戶授權是否有改變?

Yes 是 → Please answer the relevant question(s) in **Part 3** 請回答**第 3 部份**之相關問題

No 否

4. Has there been any change to the disclosures of identity 貴公司之身份披露是否有改變?

Yes 是 → Please answer the relevant question(s) in **Part 4** 請回答**第 4 部份**之相關問題

No 否

5. Has there been any change to the Foreign Account Tax Compliance Act (“FATCA”) classification 貴公司之美國外國帳戶稅務合規法案類別是否有任何變動?

Yes 是 → Please answer the relevant question(s) in **Part 5** 請回答**第 5 部份**之相關問題

No 否

6. Has there been any changes to the self-certification (including CRS status/classification) 貴公司之自我證明資料(包括共同匯報標準身份/類別)是否有任何變動?

Yes 是 → Please answer the relevant question(s) in **Self-Certification Form** 請回答**自我證明表格**內之相關問題

No 否

1) CLIENT INFORMATION 客戶資料	
Client Name (English) 客戶名稱 (英文)	
Client Name (Chinese) 客戶名稱 (中文)	
Registered Address 註冊地址 (Postal Code 郵編:)	
Business Address 營業地址 (Postal Code 郵編:)	
Office Tel No. 辦事處電話號碼	Office Fax No. 辦事處傳真號碼
Mobile Tel No. (Authorized Person) 手提電話號碼 (獲授權人)	E-mail Address 電子郵件地址

2) BUSINESS NATURE, FINANCIAL & INVESTMENT PROFILE 業務性質、財務及投資狀況

2A) BUSINESS NATURE 業務性質

Nature of Business
業務性質:

2B) FINANCIAL & INVESTMENT PROFILE 財務及投資狀況

i) Issued Share Capital (HK\$) 已發行股本 (港幣)	ii) Paid-up Capital (HK\$) 繳足股本 (港幣)
iii) Annual Income (HK\$) 年度收入 (港幣)	iv) Client's Net Assets (HK\$) 淨資產值 (港幣)

v) Source(s) of Funds 資金來源 (Please tick one or more 可選擇下列一項或多項)

Paid Share Capital 股東資本 Business Profit 企業盈利 Loan 借貸 Others (Please specify) 其他 (請註明) _____

vi) Estimated Investment Amount (HK\$) 估計投資金額 (港幣)

Under/以下 \$1,000,000 \$1,000,001 - \$5,000,000 \$5,000,001 - \$10,000,000 Over/以上 \$10,000,000

vii) Investment Objective(s) 投資目的 (Please tick one or more 可選擇下列一項或多項)

Capital Gain 資本增值 Dividend Income 股息收入 Hedging 對沖

Speculation 投機 Others (Please specify) 其他 (請說明) _____

viii) Investment Experiences 投資經驗

Investment Products 投資產品:

Nil 沒有 Stock/Warrant 股票/認股權證 Futures/Option 期貨/期權 Bonds/Funds 債券/基金 Others 其他 _____

Years of Experiences 投資經驗:

Nil 沒有 1-3 years 年 3-5 years 年 5-10 years 年 Over 10 years 超過十年

ix) Knowledge of Derivatives 衍生產品的認識

I/We have NOT acquired knowledge of derivative products (e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodity, Structured Products and Exchange Traded Fund etc, whether traded on an exchange or not)
本人/吾等沒有衍生產品之認識(例如: 衍生權證、牛熊證、股票期權、期貨及期權、商品、結構性產品及交易所買賣基金等、不論是否於交易所進行交易)(*** if tick this box, it represents NO trading function for derivative products 如勾選此項, 代表沒有交易衍生產品的功能***)

I/We understand the nature and risks of derivative products by:
本人/吾等了解衍生產品的性質和風險

By undergoing training or attending courses that provide general knowledge of the nature and risk of derivatives
已接受有關介紹一般衍生產品之性質及風險的培訓或課程
Please specify 請註明

From my/our current or previous work experience related to derivative products
從本人/吾等現時或過去與衍生產品有關的工作經驗
Please specify 請註明

From my/our relevant trading experience i.e. I/we have executed five or more transactions within the past three years in derivative products
從本人/吾等相關之交易經驗, 即本人/吾等於過去三年內已進行了五次或以上有關衍生產品之交易

However, I/We will NOT trade derivative products with and through CJSBHK and/or CJFHK.
然而本人/吾等不會在長江證券經紀及/或長江證券期貨進行衍生產品買賣交易。
(*** if tick this box, it represents NO trading function for derivative products unless otherwise requested 如勾選此項, 代表沒有交易衍生產品的功能, 除非日後另行要求***)

3) CORPORATE STRUCTURE & CLIENT AUTHORIZATION 公司結構及客戶授權			
3A) CORPORATE STRUCTURE 公司結構			
Is there any change to director(s) or shareholder(s) and their particulars? 公司董事或股東及其資料是否有任何改變?			
<input type="checkbox"/> Yes 是 → Please provide certified true copy of (i) updated register of director(s)/shareholder(s); (ii) ID of the director(s)/shareholder(s); (iii) board resolution; and provide Entity Self-Certification For (FATCA and CRS) if changes of shareholder and classify as Passive NFE. 請提供以下文件的核證副本: (i)已更新的董事/股東名冊; (ii)董事/股東身份證明文件; (iii)董事會決議; 及如股東資料更新並分類為被動非金融外國實體, 請提供實體自我證明表格(海外賬戶稅收合規法案及共同匯報標準)			
<input type="checkbox"/> No 否			
LIST OF DIRECTORS, SHAREHOLDERS AND/OR ULTIMATE OWNERS 董事、股東及/或最終擁有人名單 (Not Applicable to Listed Company 不適用於上市公司)			
Name of Director 董事名稱	ID No./Passport No./Registration No. 身份證號碼/護照號碼/註冊編號	Home Address/Registered Address 住址/註冊地址	
i)			
ii)			
iii)			
iv)			
Name of Shareholder 股東名稱	ID No./Passport No./Registration No. 身份證號碼/護照號碼/註冊編號	Home Address/Registered Address 住址/註冊地址	
i)			
ii)			
iii)			
iv)			
For shareholder that is a corporate body or not an ultimate owner, please also provide details of the corresponding individual ultimate owner(s) (a person holding not less than 25% of the interest). 若股東為法人團體或非最終擁有人, 請進一步提供其最終擁有人(個人擁有不少於25%的權益)之資料。			
Name of Ultimate Owner 最終擁有人名稱	Interest 權益 %	ID No./Passport No. 身份證號碼/護照號碼	Home Address 住址
i)			
ii)			
iii)			
iv)			
3B) ACCOUNT OPERATIONS AUTHORIZATION 帳戶操作授權			
Is there any change to client authorization? 客戶授權是否有任何改變?			
<input type="checkbox"/> Yes 是 → Please provide board resolution authorizing person(s) to operate the account on behalf of your company 請提供證明批准授權人士運作此賬戶的董事局決議案			
<input type="checkbox"/> No 否			

4) DISCLOSURE OF IDENTITY 相關身份披露

- i) Is any of the director(s), shareholder(s), ultimate owner(s) or authorized person(s) of the Client ("Relevant Person") an employee or relative of any employee or director or representative of Changjiang Securities International Financial Group Limited ("CJSIFG") or any of its subsidiaries?

客戶之任何董事、股東、最終擁有人或獲授權人士(「相關人士」)是否長江證券國際金融集團有限公司(「長證國際」)或其任何附屬公司之僱員或與其任何僱員、董事或持牌代表有親屬關係?

- No 不是
 Yes (Please specify) 是 (請詳述)

Name of Relevant Person 相關人士姓名 _____

Name of employee / director / representative 僱員/董事/代表姓名 _____

Relationship 關係 The Client 客戶本人 Spouse 配偶 Parents 父母 Children 子女 Others 其他 _____

- ii) Is any of the shareholder(s) or ultimate owner(s) of the Client ("Controlling Person") an employee or director or accredited person of any licensed or registered person with the Securities and Futures Commission?

客戶之任何股東或最終擁有人(「控制人」)是否證券及期貨監察委員會持牌人或註冊人之僱員、董事或持牌代表?

- No 不是
 Yes (Please specify and provide employer's consent letter) 是 (請詳述及提供僱主之書面同意書)

Name of Controlling Person 控制人姓名 _____

Name of Licensed or Registered Person 持牌人或註冊人名稱 _____

- iii) Is any of the Relevant Person(s) a director, employee or substantial shareholder (controlling not less than 10% of the shares) of any listed company in Hong Kong?

任何相關人士是否任何香港上市公司之董事、僱員或大股東(持有不少於10%的股份)?

- No 不是
 Yes (Please specify) 是 (請詳述)

Name of Relevant Person 相關人士名稱 _____

Name of listed company and respective role 上市公司名稱及其身份 _____

- iv) Does any of the Relevant Person(s) maintain or operate any other account with CJSIFG or any of its subsidiaries?

任何相關人士是否於長證國際或其任何附屬公司持有或運作任何帳戶?

- No 不是
 Yes (Please specify) 是 (請詳述)

Account Name 帳戶名稱 _____ Account No 帳戶號碼 _____

- v) Is any of the Relevant Person(s) or his/her spouse, partner, child, parent, spouse or partner of his/her child, or close associate a politically exposed person, senior government official or senior executive of a state owned corporation?

任何相關人士或其配偶、伴侶、子女或父母、或其子女的配偶或伴侶、或與其關係密切的人是否為政治人物、高級政府官員或國有企業高級行政人員?

- No 不是
 Yes (Please specify) 是 (請詳述)

5) FOREIGN ACCOUNT TAX COMPLIANCE ACT ("FATCA") CLASSIFICATION 美國外國帳戶稅務合規法案分類

- The Client is an U.S. Entity** 客戶為美國機構

US Taxpayer Identification Number (TIN) 美國納稅人編號: _____

- The Client is a Non-U.S. Financial Institution (FFI)** 客戶為非美國金融機構

With Global Intermediary Identification Number (GIIN) 全球中介人編號: _____

Registered with the Internal Revenue Service but the GIIN has not been received 已向美國稅局註冊, 但未收到全球中介人編號

As a Certified deemed compliant FFI 為認證視為合規的非美國金融機構

As a Non-participating FFI 為不參與的非美國金融機構

As an Owner Documented FFI 為記錄擁有人的非美國金融機構

As an Exempt Beneficial Owner 為豁免受益人

Others (Please specify) 其他 (請列明) _____

- The Client is Non-Financial Foreign Entities (NFFE)** 客戶為非美國機構

Passive NFFE # where no Controlling Person is a U.S. citizen or resident

被動非美國機構#及控制人並非美國公民或居民

Passive NFFE where following Controlling Person is a U.S. citizen or resident

被動非美國機構及以下控制人為美國公民或居民

Name in English 英文姓名 _____ US TIN 美國納稅人編號 _____

Address in English 英文地址 _____

- Not a Passive NFFE 不是被動非美國機構

Passive NFFE is an entity which satisfies one of the below conditions: (a) More than 50% of the entity's gross income for the preceding calendar year is passive income including interest, dividend, rental income, foreign exchange gain, annuity; or (b) More than 50% of the entity's assets held during the preceding calendar year are assets that produce or are held for the production of passive income.

被動非美國機構指符合以下其中一項條件之機構: (a) 根據該企業去年的財務報表, 其50% 以上的總收入是利息、股息、租金、外幣兌換收益或年金等被動收入; 或 (b) 根據該企業去年的財務報表, 其50% 以上的總資產是為產生被動收入而持有。

6) ACKNOWLEDGEMENT, UNDERTAKING AND DECLARATION 確認、承諾及聲明

Please complete either section (A) or (B) below. Section (A) shall be completed and signed by the client. Section (B) shall be completed and signed by CJSBHK's Licensed Person. 請填寫下列(A)部分或(B)部分。

(A)部分是由客戶填寫及簽署。(B)部分是由長江證券經紀持牌人填寫及簽署。

6A) DECLARATION BY CLIENT 客戶聲明

We, the undersigned, confirm that all the information provided in or otherwise in connection with this Client Profile Confirmation Form is, and in respect of any information provided hereafter, shall be, at the time of provision, true, accurate, complete and up to date, and authorize CJSBHK to confirm and verify this from any persons or entities CJSBHK considers appropriate, including but not limited to the credit agencies. CJSBHK is entitled to rely fully on such information and representations for all purposes, unless CJSBHK receive notice in writing of any changes. We confirm and undertake to notify CJSBHK immediately of any changes to any of the aforesaid information. We understand and agree that unless otherwise indicated CJSBHK in writing, any such changes will not come into effect until 5 working days after the actual receipt of the relevant written notification by CJSBHK.

吾等，即以下簽署人，即以下簽署人，確認吾等現時及其後於此「客戶資料確認表格」或與其有關所提供的資料乃屬真實、準確、完整及最新，並授權長江證券經紀可在其認為恰當的情況下向任何人士或實體確定和查證，包括但不限於信貸機構。除非長江證券經紀收到任何客戶資料改變的書面通知，長江證券經紀將有權依據這些資料，作任何用途或目的。如所提供之資料有任何更改，吾等確認及承諾立刻以書面通知長江證券經紀。吾等明白及同意除非由長江證券經紀另作書面通知，否則該資料更改只會於長江證券經紀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。

We understand that, in the event of any discrepancy between the English and Chinese version, the English version shall prevail.

吾等明白，倘若中文版本與英文版本在解釋或意義方面有任何歧義，應以英文版本為準。

We confirm that we have read, fully understand and agree to all the terms and conditions contained hereinabove.

吾等確認吾等已閱讀並同意以上所有條款及條件。

Authorized Signature with Company Chop

公司印章及獲授權人簽名

Please use the signature(s) on file with us. 請用留存本行記錄的簽署式樣

Name of Authorized Signatory(ies)

獲授權簽署人姓名：

Date

日期：

OR 或

6B) DECLARATION BY CJSBHK'S LICENSED PERSON 長江證券經紀持牌人士聲明

I confirmed that I received the above client information via tape recording system with details as below

本人確認本人透過電話錄音系統接收上述客戶資料(詳情如下)

Signature of the CJSBHK's licensed person

長江證券經紀持牌人士簽署：

Name of licensed person

持牌人士名稱：

Recorded Phone Date & Time

電話錄音日期及時間：

Recorded Phone Number

錄音電話號碼：

Date

日期：

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Handled & S.V. By:	Approved By:	Data Inputted By:	Checked By:	Remarks:
Name:	Name:	Name:	Name:	Name:
Date:	Date:	Date:	Date:	Date: