

Update of Client Identification Data concerning the Hong Kong Investor Identification Regime and Over-the-counter Securities Transactions Reporting Regime 有關香港投資者識別碼制度及場外證券交易匯報制度的客戶識別信息更新

According to the rules and requirements of the Stock Exchange of Hong Kong (“SEHK”) and the Securities and Futures Commission (“SFC”), under the Hong Kong Investor Identification Regime and Over-the-counter Securities Transactions Reporting Regime, we Changjiang Securities Brokerage (HK) Limited are required to collect the up-to-date client identification data (“CID”) from you, and the waterfall of identity documents acceptable as the CID in order of priority is as follows:

根據香港聯合交易所有限公司(「聯交所」)與證券及期貨事務監察委員會(「證監會」)的規則和規定，在香港投資者識別碼制度及場外證券交易匯報制度下，我們長江證券經紀(香港)有限公司需要向客戶收集最新的客戶識別信息，而按優先次序可接納為客戶識別信息的身分證明文件的排序表如下：

(a) For individual client or all clients of joint account¹:

(1) HKID card; (2) National identification document; (3) Passport

(a) 就個人客戶或聯名帳戶客戶：

(1) 香港身份證；(2) 國民身分證明文件；(3) 護照

Priority 優先次序	Identification Document 身份證件類型	Yes 是	No 否	If yes, please fill in details in the following descending order 如是，請依以下列填寫以下資料：
1st 第一優先	HKID card 香港身份證			HKID Card No. 香港身份證號碼
2nd 第二優先	National identification document 國民身份證明文件			National ID Card No. 國民身份證號碼
3rd 第三優先	Passport 護照			Passport No. 護照號碼
				Place of issue of Passport 護照發出地

¹Please provide the CID for all clients named for a joint account. Please fill in the table set out above separately, as applicable.

¹請提供聯名帳戶內所有客戶的客戶識別資訊。請按適用情況，分別填寫以上列表。

(b) For a corporate client and Trustee of the trust account client :

(1) Legal Entity Identifier (“LEI”) registration document; (2) Certificate of incorporation;

(3) Business registration certificate; (4) Other equivalent documents

The CID of the trustee should be the same as that of a corporate or individual client as set out above

(b) 就公司客戶或信託客戶的受託人：

(1) 法律實體識別編碼 (LEI) 登記文件；(2) 公司註冊證明書；(3) 商業登記證；

(4) 其他同等文件

受託人的客戶識別資訊應與上述公司或個人客戶的客戶識別資訊的規定相同

Priority 優先次序	Identification Document 身份證件類型	Yes 是	No 否	If yes, please fill in details in the following descending order 如是，請依以下列填寫以下資料：
1st 第一優先	LEI registration document 法律實體識別編碼(LEI)登記文件			LEI registration No. 法律實體識別編碼
2nd 第二優先	Certificate of incorporation 公司註冊證明書			Certificate of incorporation No. 公司註冊證明書號碼
				Place of Incorporation 公司註冊證明書發出地
3rd 第三優先	Business registration certificate 商業登記證			Business registration certificate No. 商業登記證號碼
				Place of issue of B.R.Cert. 商業登記證發出地

4th 第四優先	Other relevant documents 其他同等文件			Please specify 請註明：
				No. and Place of issue of other relevant documents 其他同等文件之號碼及發出地

Or 或 Trustee of the trust account client 信託客戶的受託人：

Priority 優先次序	Identification Document 身份證件類型	Yes 是	No 否	If yes, please fill in details in the following descending order 如是，請依以下列填寫以下資料：
1st 第一優先	HKID card 香港身份證			HKID Card No. 香港身份證號碼
2nd 第二優先	National identification document 國民身份證明文件			National ID Card No. 國民身份證號碼
3rd 第三優先	Passport 護照			Passport No. 護照號碼
				Place of issue of Passport 護照發出地

If there is any change in the CID (refer to the identity document information in the table above) you provided to us, or the identity document previously provided to us is not in accordance with the waterfall requirements of the SFC as set out above, please fill in the table above and send the completed form along with a copy of the required identity document to us by post, email or fax.

如閣下提供給我司的客戶識別信息（參見上表中的身份證明文件資料）有任何變更，或先前提供給我司的身份證明文件不符合上述證監會的排序表規定，請填寫上表並將已填妥的表格連同相關身份證明文件的副本，以郵寄、電郵或傳真方式送回本公司。

**Remarks:* If the identity document in accordance with the waterfall requirements of the SFC was not provided in the account opening process, please provide us with a copy of the required identity document. For instance, for an individual client who possesses HKID card but such document has not been previously provided, such individual client is required to provide the above CID and a copy of HKID card to us accordingly.

**備註：*如在開戶過程中並未提供符合證監會的身份證明文件排序表規定的身份證明文件，請向我司提供相關身份證明文件的副本。例如，對於持有香港身份證但未曾提供此類文件的個人客戶，該個人客戶需要向我司提供以上客戶識別信息和香港身份證副本。

Authorized Signature 客戶簽署	
X _____	

(All account holders of joint account must sign jointly or with company chop) (所有聯名客戶必須簽名)

Account Number/帳戶號碼：

Account Name/帳戶名稱：

Date/日期：

For Office Use Only 本公司專用				
Sales A.E. Code:	Approved By:	Data Input By:	Checked By:	Remarks:
	Name:	Name:	Name:	Name:
	Date:	Date:	Date:	Date: