光大證券 | 國際
EVERBRIGHT SECURITIES | INTERNATIONAL

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 Group[1]. 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]希望能定期更新貴公司的客戶資料。**懇請貴公司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，請聯絡貴公司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).
若貴公司從未向本公司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本公司，請回答有關問題。

(ii) If you maintain more than one account with EBSI Group[1] 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，而貴公司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。

(iii) 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。

[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」。

CORPORATE ACCOUNT 公司帳戶

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 particulars 貴公司之資料是否有改變？

☐ 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) Registered Office Address in the Place of Incorporation 在註冊地的註冊辦事處地址*

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

(A2) Business Address 營業地址

☐ Same as Registered Office Address in the Place of Incorporation 與在註冊地的註冊辦事處地址相同

☐ Otherwise, please specify 若與在註冊地的註冊辦事處地址不同，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) Correspondence Address 通訊地址：

☐ Registered Office Address in the Place of Incorporation 在註冊地的註冊辦事處地址

☐ Business Address 營業地址

☐ 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

* Please provide proof of your new address (eg. 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 tick the appropriate box 請在合適的方格內打勾

(A4) Nature of Business 業務性質：_____

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

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(A5) Telephone No.電話號碼：(_____)_____

(A6) Email Address 電子郵件地址：_____

(A7) Fax No.傳真號碼：(_____)_____

SECTION B 第二部分：Financial Profile 財務概況

Has there been any change to your financial profile 貴公司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?
貴公司的投資目標、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 Net Profit Before Tax (HK$) 每年稅前純利（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 - $20,000,000
☐ $20,000,001 - $50,000,000 ☐ $50,000,001 - $100,000,000 ☐ > $100,000,000

(B5) Ongoing Source(s) of Wealth (e.g. Accumulated Return on Investments) 持續財富來源（例如，累積投資回報）：_____

(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：

☐ Return on Investment 投資回報 ☐ Business Income 業務收入 ☐ Shareholder Funds 股東資金
☐ 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

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

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(C1) Authorized Person(s) who can operate the Account(s) and/or permitted to act in accordance with the Client Agreement on behalf of the account holder ("Authorized Person(s)"). Please provide the following information of the Authorized Person(s) 可代表帳戶持有人操作本帳戶及可按客戶協議作出其他事宜之授權人(「授權人」)，請提供其資料如下：

	(A)	(B)	(C)	(D)
Name in English				
中文姓名				
Identity Card/ Passport No. 身份證 / 護照號碼				
Date of Birth 出生日期 DD(日)／MM／(月)／YYYY(年)				
Nationality 國籍				
Residential Address 住址				
Telephone No. 電話號碼				

(C2) Person(s) or entity(ies) who is / are ultimately responsible for originating instructions (trading and/or others) for the Account(s) ("Responsible Person(s)"). Please provide Name(s) and ID/ Passport No(s) of the Responsible Person(s) 為此帳戶之最終負責作出指示 (交易及 / 或其他指示) 的人士或實體 (「負責人士」)：

☐ The Account Holder 帳戶持有人 ☐ One of the above Authorized Persons 上述其中一名授權人：

(A) – (D) _____

☐ Others 其他: (Please provide the information below 請提供以下資料)

Name 姓名：_____ ID/Passport No. 身份證 / 護照號碼：_____

Nationality 國籍：_____ Email Address 電子郵件地址：_____

Telephone No. 電話號碼：(_____)_____ Fax No. 傳真號碼：(_____)_____

Residential Address 住址**：

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 _____

** Please provide proof of the residential address (eg. utility bill or bank statement issued within the last 3 months).
請提供上述的住址證明 (如最近三個月內發出的水 / 電 / 煤氣費單或銀行月結單)。

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

(C3) Person(s) who stand(s) to gain the commercial or economic benefit of transactions of the Account(s) and/ or bear(s) its / their commercial or economic risk (i.e. "Beneficial Owner(s)" Δ). Please provide the following information of the Beneficial Owner(s) 代表此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」Δ），請提供其資料如下：

[Note 註：This section DOES NOT apply to any client falling within section 4 (3) of Schedule 2 of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (the "**AMLO**") (e.g. a financial institution, a listed company 此部分不適用於客戶為《打擊洗錢及恐怖分子資金籌集條例》(下稱「打擊洗錢條例」)附表 2 之第 4(3) 部分所定義的公司（例如金融機構、上市公司）]

	(A)	(B)	(C)	(D)
Name in English				
中文姓名				
Identity Card/ Passport No. 身份證 / 護照號碼				
Date of Birth 出生日期 DD(日)／MM(月)／YYYY(年)				
Nationality 國籍				
Residential Address 住址 (Please provide address proof within the recent 3 months 請提供最近 3 個月的地址證明)				
Permanent Address 永久地址 (Please provide address proof within the recent 3 months 請提供最近 3 個月的地址證明)	☐ Same as residential address 與住址相同 ☐ Otherwise, please specify 若與住址不同，請說明：	☐ Same as residential address 與住址相同 ☐ Otherwise, please specify 若與住址不同，請說明：	☐ Same as residential address 與住址相同 ☐ Otherwise, please specify 若與住址不同，請說明：	☐ Same as residential address 與住址相同 ☐ Otherwise, please specify 若與住址不同，請說明：
Telephone No. 電話號碼				

OR please refer to the attached document(s) 或請參閱附加之文件 _____

ΔThe AMLO defines Beneficial Owner in relation to a corporation as:
(i) an individual who -
(a) owns or controls, directly or indirectly, including through a trust or bearer share holding, not less than 25% of the issued share capital of the corporation;
(b) is, directly or indirectly, entitled to exercise or control the exercise of not less than 25% of the voting rights at general meetings of the corporation; or
(c) exercises ultimate control over the management of the corporation; or
(ii) if the corporation is acting on behalf of another person, means the other person.
就法團而言，「打擊洗錢條例」將實益擁有人的定義界定為：
(i) 符合以下說明的個人—
(a) 直接或間接地擁有或控制（包括透過信託或持票人股份持有）該法團已發行股本的不少於 25%；
(b) 直接或間接地有權行使在該法團的成員大會上的投票權的不少於 25%，或支配該比重的投票權的行使；或
(c) 行使對該法團的管理最終的控制權；或
(ii) 如該法團是代表另一人行事是指該另一人。
Please refer to section 1(1) of Schedule 2 to the AMLO for the definition of Beneficial Owner in relation to a partnership and trust.
請參閱「打擊洗錢條例」附表 2 之第 1(1)部分關於有關合夥及信託實益擁有人的定義。

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

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(C4) (i) Is there any change to director(s)/shareholder(s)? 公司董事/股東是否有任何轉變？

☐ Yes, there are changes to director(s)/shareholder(s). (Please provide a certified true copy of evidence of change of director(s)/shareholder(s), the ID copies of the director(s)/shareholder(s) and Board Resolution.) 是，公司董事/股東有轉變。（請提供已變更的董事名冊/股東名冊、公司董事/股東身份證明文件和董事會決議案的認證副本。）

☐ No 否

(ii) Are there any existing charges registered on the company? 公司是否有現存的抵押登記冊？

☐ Yes, there are existing charges registered on the company. (Please provide a certified true copy of existing charges and other relevant supporting documents.) 是，公司有現存的抵押登記冊。（請提供現存的抵押登記冊的認證副本和其他有關的證明文件。）

☐ No 否

(iii) Is the company an offshore company? 公司是否離岸公司？

☐ Yes, the company is an offshore company. (Please provide a certified true copy of the Certificate of Incumbency which is not older than 2 years.) 是，公司為離岸公司。（請提供最近兩年的董事在職證明的認證副本。）

☐ No 否

(C5) Is any director, substantial shareholder, beneficiary owner(s) or authorized person of the account holder:
帳戶持有人之任何董事、主要股東、實益擁有人或授權人是否：

(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，謹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 person? (^If yes, please specify his/her 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，謹請說明他／她的中央編號）

☐ Yes 是（ ） ☐ No 否

(iii) a relative of the Wealth Manager responsible for the Account(s)? (If yes, please state the relationship)
帳戶之負責投資顧問之親屬？（如是，謹請陳述與之關係）

☐ Yes 是（ ） ☐ No 否

(C6) Is/Are (i) any director(s); and/or (ii) beneficial owner(s); and/or (iii) authorized person(s) of the account holder (collectively known as "Related Persons"); and/or (iv) spouse, partner, child(ren) and/or parent(s) of any Related Persons; and/or (v) spouse(s) or partner(s) of the child(ren) of any Related Persons; and/ or (vi) close associate(s)^^ of any Related Persons:
(i) 申請人之任何董事；及／或 (ii) 實益擁有人；及／或 (iii) 獲授權人（以下統稱為「有關人士」）；及／或 (iv) 任何有關人士之配偶、伴侶、子女及／或父母；及／或 (v) 任何有關人士子女的配偶或伴侶；及／或 (vi) 與任何有關人士關係密切的人^^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 enterprises, 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。

(C7) **This question only applies to customer(s) who maintain(s) margin securities trading account(s) with EBSI Group[1]**
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 any member of the group of companies to which the account holder belongs, a margin client of any company of EBSI Group[1]? (If yes, please provide details.) 與帳戶持有人同一公司集團的任何成員是否光大證券國際集團[1]之任何公司的孖展客戶？（如是，謹請詳細說明。）

☐ Yes 是（ ） ☐ No 否

(ii) Is the account holder, or was the account holder 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 shareholder[2] of any company of EBSI Group[1] ("Connected Person")[3] ? (If yes, please provide such details as requested by EBSI Group[1].) 申請人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

(iii) (a) To the company's best knowledge, does another individual margin client(s) of EBSI Group[1] (either alone or jointly with his/her spouse) control 35% or more voting rights of your company (i.e. Client)?

就貴公司(指客戶)所知，是否有另一名光大證券國際集團[1]1 的個人孖展客戶（單獨或與其配偶）控制貴公司 35%或以上的表決權？

☐ Yes 是 ☐ No 否

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

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

如果在上述(iii)(a)中選擇了「是」，請提供上述個人孖展客戶的詳情：

i) Name 姓名：_____ Identity Card/Passport/Certificate of Incorporation No. 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）: _____

ii) Name 姓名：_____ Identity Card/Passport/Certificate of Incorporation No. 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 the company's best knowledge, does another corporate margin client(s) of EBSI Group[1] control 35% or more voting rights of your company or vice versa? 就貴公司所知，是否有另一家光大證券國際集團[1]的公司孖展客戶控制了貴公司之 35%或以上的表決權或相反亦然？

☐ Yes 是 ☐ No 否

(d) If "Yes" is selected in (iii)(c) above, please provide details of the above-mentioned corporate margin client(s):

如果在上述(iii)(c)中選擇了「是」，請提供上述公司孖展客戶的詳情：

i) Name 姓名：_____ Certificate of Incorporation No. 公司註冊證書號碼：_____

ii) Name 姓名：_____ Certificate of Incorporation No. 公司註冊證書號碼：_____

(iv) (a) To the company's best knowledge, does any individual (either alone or jointly with his/her spouse) control 35% or more voting rights of your company? 就貴公司所知，是否有任何個人（單獨或與其配偶）控制貴公司之 35%或以上的表決權？

☐ Yes 是 ☐ No 否

(b) If "Yes" is selected in (iv)(a) above, to the company's best knowledge, is the company aware of any other corporate margin client(s) of EBSI Group[1] of which 35% or more voting rights is controlled by the same above-mentioned individual (either alone or jointly with his/her spouse)? 如果在上述(iv)(a)中選擇「是」，就貴公司所知，貴公司是否知悉有任何其他光大證券國際集團[1]的公司孖展客戶，其中 35%或以上的表決權由上述同一個人（單獨或與其配偶）控制？

☐ Yes 是 ☐ No 否

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

如果在上述(iv)(b)中選擇了「是」，請提供上述公司孖展客戶的詳情：

i) Name 姓名：_____ Certificate of Incorporation No. 公司註冊證書號碼：_____

ii) Name 姓名：_____ Certificate of Incorporation No. 公司註冊證書號碼：_____

(v) (a) To the company's best knowledge, is the company a guarantor of other margin client(s) of EBSI Group[1] for their financial liabilities under any guarantee arrangement(s)? 就貴公司所知，貴公司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 Group[1]:

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

i) Name 姓名：_____ Identity Card/Passport/Certificate of Incorporation No. 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）: _____

ii) Name 姓名：_____ Identity Card/Passport/Certificate of Incorporation No. 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）: _____

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

(c) To the company's best knowledge, does the company have any financial liabilities under your margin account(s) which are subject to any guarantee arrangement(s)? 就貴公司所知，貴公司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 Group[1]? 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：

i) Name 姓名：_____ Identity Card/Passport/Certificate of Incorporation No. 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）: _____

ii) Name 姓名：_____ Identity Card/Passport/Certificate of Incorporation No. 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）: _____

(f) If "No" is selected in (v)(d) above, to the company's best knowledge, is the company aware of other margin client(s) of EBSI Group[1] whose financial liabilities are guaranteed by the above-mentioned guarantor(s)?

如果上述 5(d)中選擇「否」，就貴公司所知，貴公司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 Group[1]:

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：

i) Name 姓名：_____ Identity Card/Passport/Certificate of Incorporation No. 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）: _____

ii) Name 姓名：_____ Identity Card/Passport/Certificate of Incorporation No. 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 (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，親生及領養）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。

For question (C1) to (C4) above, if the answer is different from our record, we will ask you to sign and return to us a written declaration and to provide the relevant documents. Please also submit the following documents for each of the Authorized Person(s), Responsible Person(s) and/or Beneficial Owner(s): copies of their HKID or passport or such other official identification document acceptable to EBSI Group[1]; 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 Responsible Person(s) and/or Beneficial Owner(s).
如上述問題 (C1) 至 (C4) 之答案與本公司紀錄不同，本公司將會與貴公司聯絡並安排簽署有關的書面聲明及提供相關之證明文件。請同時遞交每一位授權人、負責人士及 / 或實益擁有人的有關文件：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負責人士及 / 或實益擁有人之姓名及地址的最近三個月內發出的電費單或銀行月結單 。

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

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SECTION D 第四部分：Customer Acknowledgement 客戶確認

We, 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. We undertake to notify the relevant EBSI Group[1] entity immediately in writing of any change(s) to any of the aforesaid information. We understand and agree that unless otherwise indicated by the relevant EBSI Group[1] 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 Group[1] entity. The relevant EBSI Group[1] entity and other group members of EBSI Group[1] 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).

吾等，即以下簽署人，確認吾等現時及其後於此*「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，吾等承諾立即以書面通知相關的光大證券國際集團[1]公司。吾等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貴公司提供之資料（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) and signature chop that you previously provided to us.
必須與貴公司之前提供本公司的授權簽署及簽署印章式樣相同。

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: Date:	Input by: Date:	Checked by: Date:

Verification conducted by Sales Management:	
Means: ☐ Email or ☐ Call or ☐ 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):	

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