

BOCI Securities Limited 中銀國際證券有限公司
Questionnaire for Physical Scrip Deposit (US Stock) 存入实货(美股)问卷

Account Name 账户名称:	
Account Number 账户号码:	

THIS QUESTIONNAIRE SHOULD BE COMPLETED BY CLIENT(S) WHO DEPOSITS PHYSICAL SCRIP(S) OF US STOCK(S) INTO THE ABOVE ACCOUNT WITH BOCI SECURITIES LIMITED. NO PHYSICAL SCRIP DEPOSIT SHALL BE ACCEPTED IF THE CLIENT(S) FAILS TO COMPLETE THIS QUESTIONNAIRE. 凡客户要求以实货形式存入美股于上述之中银国际证券有限公司之账户, 均须填写本问卷。若客户拒绝填写本问卷, 中银国际证券有限公司将不接受该客户以实货形式存入美股之申请。

1. Please specify the detail of the physical scrip(s) to be deposited to your account. 请注明将存入您的账户的实货股票详情。

Stock Code / Stock Name: 股票编号/股票名称:	
No. of shares to be deposited: 存股数量:	
Share Certificate Number: 股票编号:	

2. When and how did you acquire the above-mentioned shares? 您于何时及以什么形式获取上述股票?

Date of Acquisition 获取日期: _____

- | | |
|--|---|
| <input type="checkbox"/> Private Placement
私人配售 | <input type="checkbox"/> Off-market Share Transfer
场外股权转让 |
| <input type="checkbox"/> IPO Subscription
首次公开认购 | <input type="checkbox"/> Conversion of Restricted Shares
限售股转换 |
| <input type="checkbox"/> Others 其它 Please specify 请注明: _____ | |

We may require you to provide supporting documentation upon request.
 我司可能会要求阁下提供有关证明文件要求。

3. Please provide the source of funds for obtaining the above-mentioned shares. 请提供获取上述股票的资金来源。

- | | |
|--|---|
| <input type="checkbox"/> Sale of Property
出售物业 | <input type="checkbox"/> Savings from Earnings / Bonus
收入储蓄/奖金 |
| <input type="checkbox"/> Sale of Investments
出售投资 | <input type="checkbox"/> Return on Investments
投资回报 |
| <input type="checkbox"/> Inheritance / Gift
继承/馈赠 | |
| <input type="checkbox"/> Others 其它 Please specify 请注明: _____ | |

4. Do you have any relationship with the listed corporation in concern? If yes, please specify. 您是否与相关上市公司有任何关系? 如有, 请注明。

No 无

Yes 有 Please specify 请注明: _____

5. Are you the ultimate beneficiary of the above-mentioned shares? If no, please provide details of the ultimate beneficial owner and reason for holding the shares. 您是否上述股票的最终实益拥有人? 如否, 请提供详细的最终实益拥有人的资料及为其持有该股票的理由。

Yes 是

No 不是

Name of ultimate beneficial owner 最终实益拥有人的姓名: _____

Reason for holding such shares 持有该股票的理由: _____

6. Apart from the physical scrip(s) deposited this time, how many physical scrip(s) (on the same stock) are you holding? Do you expect to deposit them into your account in future? 除上述存入之实货股票外, 您还持有多少同一股票名称之实货股票? 您会否将其存入账户内?

No 无

Yes 有

Please specify the quantity 请注明数量: _____

Will you deposit them into your account 会否将其存入账户内 Yes 会 No 不会

Declaration by Account Holder / Authorized Person 账户持有人/授权人声明:

I/We, the undersigned, being the account holder / authorized person for the above-mentioned account, hereby confirm that the information provided in this Questionnaire is true, complete and correct.

本人/吾等, 下列署名者, 为上述账户的账户持有人/授权人, 现谨确认本问卷内提供的资料均为属实、完整及正确。

For Individual Client(s) 个人客户:

Signed by 签署:

For Corporate Client(s) 公司客户:

Signed by (with company chop (if any))

签署(附有公司印章 (如适用)):

Name of Account Holder / Authorized Person:

账户持有人/授权人姓名:

Date 日期:

Name of Authorized Person:

授权人姓名:

Date 日期:

For internal use only - To be completed by Sales Person / Relationship Manager:

I, _____ (Name of Sales Person / Relationship Manager), confirmed that I have reviewed the above responses provided by the client(s).

Signed by:

Name of Sales Person / Relationship Manager

Date: