

CUSTOMER INFORMATION STATEMENT - INDIVIDUAL / JOINT ACCOUNT

BOCI Securities Limited ("BOCIS")

20 / F, Bank of China Tower, 1 Garden Road, Hong Kong
18 / F, Grand Millennium Plaza, 181 Queen's Road Central, Hong Kong
CE No.: AAC298

Please complete in BLOCK letters.

TYPE OF ACCOUNT

☐ Individual Account

☐ Joint Account (Each of the joint account holders (other than the principal account holder) shall complete the Customer Information Statement - Joint Account Holder)

PRINCIPAL / SOLE ACCOUNT HOLDER'S PERSONAL INFORMATION

Name In English	Name In Chinese
Former Name / Alias in English (if any)	Former Name / Alias in Chinese (if any)
I.D. / Passport No.	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female
Nationality	Other Nationality (if applicable)
Date of Birth _____ dd mm yyyy	Place of Birth
U.S. Tax Resident <input type="checkbox"/> Yes <input type="checkbox"/> No	U.S. Green Card Holder <input type="checkbox"/> Yes <input type="checkbox"/> No
Home Phone No. _____-_____-_____	Mobile Phone No. _____-_____-_____
Fax No. _____-_____-_____	Contact No. (phone or fax) contains U.S. Country Code <input type="checkbox"/> Yes <input type="checkbox"/> No
Primary Email Address _____ This email address shall be used for accounts' operation, activation of online trading service and receipt of all correspondence, including electronic statement (if applicable)	



Residential Address (P.O. Box not accepted)		
(Postal Code:)		
Permanent Address (if different from above) (P.O. Box not accepted)		
(Postal Code:)		
<p>Nature of Occupancy</p> <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> With Parents <input type="checkbox"/> Relative's </div> <div> <input type="checkbox"/> Owned (No mortgage) <input type="checkbox"/> Staff Quarters </div> <div> <input type="checkbox"/> Mortgaged / Monthly Installment \$ _____ <input type="checkbox"/> Rented / Monthly Rental \$ _____ </div> </div>		
<p>Employment Status</p> <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Self-employed <input type="checkbox"/> Retired </div> <div> <input type="checkbox"/> Full-time Employed <input type="checkbox"/> Full-time Student </div> <div> <input type="checkbox"/> Part-time Employed <input type="checkbox"/> Housewife </div> <div> <input type="checkbox"/> Not Currently Employed <input type="checkbox"/> Others (Please specify) _____ </div> </div>		
Employer's Name	Nature of Business	
Office Phone No. <div style="border-bottom: 1px solid black; display: flex; justify-content: space-between;"> </div>	Year(s) with Existing Employer	Position
Office Address		
<p>Correspondence Address</p> <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Residential <input type="checkbox"/> Others _____ </div> <div> <input type="checkbox"/> Permanent </div> <div> <input type="checkbox"/> Office </div> </div>		
Relationship with Joint Account Holder(s) (for joint account only)		

LICENSED / REGISTERED PERSON DECLARATION

Are you a licensed / registered person, or an employee of a licensed corporation / registered institution (e.g. employee of a brokerage firm / bank) as defined under the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong)?

☐ No ☐ Yes, please specify:

Do you have any relative(s) working in BOCI Group (which includes BOC International Holdings Limited and its subsidiaries)?

☐ No ☐ Yes, please specify:

Name	Relationship
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ULTIMATE BENEFICIAL OWNER(S) OF THE ACCOUNT

Are you the ultimate beneficial owner(s) of the Account? (This information is required under the Client Identity Rule Policy of the Securities and Futures Commission.)

☐ Yes ☐ No, please provide details of the ultimate beneficial owner(s):

Name In English	Name in Chinese
Former Name / Alias in English (if any)	Former Name / Alias in Chinese (if any)
I.D. / Passport No.	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female
Nationality	Other Nationality (if applicable)
Date of Birth <input type="text"/> dd <input type="text"/> mm <input type="text"/> yyyy	Place of Birth
U.S. Tax Resident <input type="checkbox"/> Yes <input type="checkbox"/> No	U.S. Green Card Holder <input type="checkbox"/> Yes <input type="checkbox"/> No
Contact No. <input type="text"/> - <input type="text"/> - <input type="text"/>	Contact No. (phone and/or fax) contains U.S. Country code <input type="checkbox"/> Yes <input type="checkbox"/> No
Address	
Do you, your spouse or any company controlled by you (with 35% or more voting rights) maintain any other account(s) with BOCIS? <input type="checkbox"/> No <input type="checkbox"/> Yes, please provide details:	
Account Name	Account No.
Account Name	Account No.

APPLICANT'S BANK DETAILS

Funds will be transferred to the following bank accounts pursuant to your fund withdrawal instruction.

Bank Account (Hong Kong) ☐ USD ☐ HKD

Bank Name

Account Holder's Name

Account No.

Bank Account (Overseas)

Bank Name

Bank Address

Account Holder's Name

Account No.

Currency

APPLICANT'S FINANCIAL PROFILE

(This information is required under the "know-your-client requirements" of the Securities and Futures Commission.)

Income and Asset

Estimated Annual Income (HK\$)

- ☐ Under HK\$200,000
- ☐ HK\$200,000 - HK\$500,000
- ☐ HK\$500,001 - HK\$1,000,000
- ☐ HK\$1,000,001 - HK\$5,000,000
- ☐ Above HK\$5,000,000
- ☐ Other Income Source: _____

Approximate Net Asset Value (HK\$)(Total Assets - Total Liabilities)

- ☐ Under HK\$500,000
- ☐ HK\$500,000 - HK\$3,000,000
- ☐ HK\$3,000,001 - HK\$5,000,000
- ☐ HK\$5,000,001 - HK\$30,000,000
- ☐ Above HK\$30,000,000

Educational Background

- ☐ Primary School ☐ Secondary School ☐ University or above ☐ Others: _____

Source(s) of Funds for This Account (you may choose more than one option)

- ☐ Sale of Property ☐ Savings from Earnings / Bonus ☐ Sale of Investments ☐ Pension
- ☐ Return on Investments ☐ Inheritance / Gift ☐ Commission
- ☐ Others, please specify: _____

APPLICANT'S DECLARATION

I represent that all information contained in this Customer Information Statement is in all respects true, complete and correct. BOCIS is authorized at any time to contact any person, including but without limitations to my banks, brokers or any credit agency, for purposes of verifying the customer information contained herein.

I declare that I am not currently employed by any entity licensed or registered to carry on regulated activities as defined in the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong). Otherwise, I understand that I am required to provide BOCIS written consent from my employer before I open and operate any account with BOCIS. I undertake to promptly notify BOCIS if I become or cease to be employed by any entity licensed or registered to carry out regulated activities.

I undertake to notify BOCIS in writing forthwith upon any changes to any of the information contained in this Customer Information Statement. BOCIS is entitled to rely fully on any of my certification and confirmation contained herein for all purposes, unless BOCIS receives notice in writing of any changes thereof.

APPLICANT'S SIGNATURE (THIS SIGNATURE WILL BE TREATED AS SPECIMEN SIGNATURE)

Applicant's Signature:

Date:

中銀國際證券有限公司

香港中环花园道1号中银大厦20楼
香港中环皇后大道中181号新纪元广场18楼
中央编号：AAC298

账户类别

☐ 个人账户

☐ 联名账户（除账户持有人外，每名账户持有人均需填写「客户资料声明 - 联名账户持有人」）

账户持有人之个人资料

英文姓名

中文姓名

英文前用姓名 / 别名（如有）

中文前用姓名 / 别名（如有）

身份证 / 护照号码

性别

☐ 男 ☐ 女

国籍

其他国籍（如适用）

出生日期

____ 日 ____ 月 ____ 年

出生地点

美国纳税人

☐ 是 ☐ 否

美国绿卡持有人

☐ 是 ☐ 否

住宅电话号码

____ - ____ - _____

手提电话号码

____ - ____ - _____

传真号码

____ - ____ - _____

联络号码（电话或传真）为一个美国号码

☐ 是 ☐ 否

基本电邮地址 _____

此电邮地址将会用作账户运作、启动网上交易服务及收取账户通讯包括电子结单之用（如适用）



住宅地址 (不接受邮政信箱)			(邮政编号: _____)
永久地址 (如与上述不同) (不接受邮政信箱)			(邮政编号: _____)
住宅类别 <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> 与父母同住 <input type="checkbox"/> 亲属楼宇 </div> <div> <input type="checkbox"/> 自置 (无按揭) <input type="checkbox"/> 宿舍 </div> <div> <input type="checkbox"/> 按揭 / 每月供款\$ _____ <input type="checkbox"/> 租用 / 每月租金\$ _____ </div> </div>			
就业情况 <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> 自雇 <input type="checkbox"/> 退休 </div> <div> <input type="checkbox"/> 全职 <input type="checkbox"/> 全职学生 </div> <div> <input type="checkbox"/> 兼职 <input type="checkbox"/> 家庭主妇 </div> <div> <input type="checkbox"/> 现未有就业 <input type="checkbox"/> 其他 (请注明) _____ </div> </div>			
雇主名称		业务性质	
公司电话	现职年期	职位	
公司地址			
通讯地址 <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> 住址 <input type="checkbox"/> 其他: _____ </div> <div> <input type="checkbox"/> 永久 <input type="checkbox"/> 公司 </div> </div>			
与联名账户持有人的关系 (只适用于联名账户)			

持牌 / 注册人士申报

阁下是否为证券及期货条例 (香港法例第571章) 中所定义的持牌 / 注册人士, 或持牌法团 / 注册机构 (如经纪行 / 银行等) 之雇员?

☐ 否 ☐ 是, 请列明:

阁下的亲属是否中银国际集团 (包括中银国际控股有限公司及其附属公司) 之员工?

☐ 否 ☐ 是, 请列明:

姓名	关系
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账户之最终实益拥有人

閣下是否此賬戶的最終實益擁有人？（此資料是根據香港證券及期貨事務監察委員會所制定之「客戶身份規則」要求而索取）

☐ 是 ☐ 否，请提供最终实益拥有人的详细资料：

英文姓名	中文姓名
英文前用姓名 / 别名(如有)	中文前用姓名 / 别名(如有)
身份证 / 护照号码	性别 <input type="checkbox"/> 男 <input type="checkbox"/> 女
国籍	其他国籍 (如适用)
出生日期 <input type="text"/> 日 <input type="text"/> 月 <input type="text"/> 年	出生地点
美国纳税人 <input type="checkbox"/> 是 <input type="checkbox"/> 否	美国绿卡持有人 <input type="checkbox"/> 是 <input type="checkbox"/> 否
联络号码 <input type="text"/> - <input type="text"/> - <input type="text"/>	联络号码 (电话或传真) 为一个美国号码 <input type="checkbox"/> 是 <input type="checkbox"/> 否
地址	
阁下、阁下之配偶或任何阁下所控制之公司 (持有35%或以上之投票权) 现时是否持有其他中银国际证券有限公司之账户？ <input type="checkbox"/> 否 <input type="checkbox"/> 是，请提供详细资料：	
账户名称	账户号码
账户名称	账户号码

申请人之银行资料

款项将根据客户的提款指示转入以下银行账户

银行账户 (香港) ☐ 美金 ☐ 港币

银行名称

账户名称	账户号码
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银行账户 (海外)	
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银行名称

银行地址

账户号码	货币
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申请人之财务纪录

(此资料是根据香港证券及期货事务监察委员会所制定之「认识你的客户要求」要求而索取)

收入及资产

估计年度收入 (港元)

- ☐ HK\$200,000以下
☐ HK\$200,000 - HK\$500,000
☐ HK\$500,001 - HK\$1,000,000
☐ HK\$1,000,001 - HK\$5,000,000
☐ HK\$5,000,000以上
☐ 其他收入来源：_____

估计资产净值 (港元) (总资产- 总负债)

- ☐ HK\$500,000以下
☐ HK\$500,000 - HK\$3,000,000
☐ HK\$3,000,001 - HK\$5,000,000
☐ HK\$5,000,001 - HK\$30,000,000
☐ HK\$30,000,000 以上

教育程度

- ☐ 小学 ☐ 中学 ☐ 大学或以上 ☐ 其他：_____

账户资金来源 (可选择多项)

- ☐ 出售物业 ☐ 收入储蓄 / 奖金 ☐ 出售投资 ☐ 退休金
☐ 投资回报 ☐ 继承 / 馈赠 ☐ 佣金
☐ 其他，请注明：_____

申请人声明

本人兹声明在此客户资料声明内的资料均为属实、完整及正确。中银国际证券有限公司获授权随时联络任何人，包括但不限于本人之银行、经纪或任何信用机构，以求证实客户资料声明内所载之内容。

本人确认本人现时并非受雇于任何持牌法团或注册机构从事证券及期货条例 (香港法例第571章) 界定的受规管活动，否则本人明白本人须向中银国际证券有限公司提供本人雇主所发出的同意书方可以于中银国际证券有限公司开立及使用本人的账户。本人并承诺如将受雇或不再受雇于任何持牌法团或注册机构从事受规管活动时，立即通知中银国际证券有限公司。

本人承诺如任何载于此客户资料声明内的资料有任何变更，本人将尽快以书面通知中银国际证券有限公司。除非中银国际证券有限公司接收到本人更改有关内容的书面通知，中银国际证券有限公司有权在任何情况下完全依赖本人的证明及确认。

申请人签署 (此签署将被视作签署式样)

申请人签署：

日期：