CUSTOMER INFORMATION STATEMENT -JOINT ACCOUNT HOLDER



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

LOINT ACCOUNT		LINEODA	AATION					
	T HOLDER'S PERSONA	LINFORM						
Name In English			Name In Chine	ese				
Former Name / Alias i	n English (if any)		Former Name	/ Alias in Chi	nese (if	f any)		
I.D. / Passport No.			Gender			Male	Femal	е
Nationality			Other National	lity (if applica	ıble)			
Date of Birth	dd mm yyy	/y	Place of Birth					
U.S. Tax Resident	☐ Yes ☐ N	o	U.S. Green Ca	ard Holder		Yes	□No	
Home Phone No.			Mobile Phone	No.				
Fax No.			Contact No.(pl	none or fax)		Yes	□No	
			contains U.S.	Country Cod	е	☐ fes		
Email Address								
Residential Address (I	P.O. Box not accepted)							
Tresidential Address (I	1.0. Dox not accepted)				(Po	ostal Code:)
Permanent Address (i	f different from above) (P.O. Bo	ox not accept	ted)					
(1		,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,			(Po	ostal Code:)
Nature of Occupancy								
☐ With Parents	Owned (No mortgage)	☐ Morta:	aged / Monthly Ins	tallment \$				
☐ Relative's	Staff Quarters		d / Monthly Rental					_
Employment Status	Otali Quarters	Птете	a / Worlding Florital	Ψ				
Self-employed	☐ Full-time Employed	□ Bort tin	ne Employed	☐ Not Cu	rrontly E	Employed		
Retired	☐ Full-time Student	House		Others	-			
	— Full-time Student	□ ⊓ouse	wiie	Li Others				
Employer's Name					Natur	re of Business	6	
Office Phone No.			Year(s) with Ex	kisting Emplo	yer	Position		
Office Address								
Relationship with othe	er Joint Account Holder(s)							
							ESD-060B	F/0.4



Applicant's signature:

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)? \square No \square Yes, please specify: Name Relationship 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 ☐ Male ☐ Female Nationality Other Nationality (if applicable) Date of Birth Place of Birth mm уууу U.S. Tax Resident ☐ Yes ☐ No U.S. Green Card Holder Yes ☐ No Contact No. Contact No.(phone and/or fax) ☐ No ☐ Yes contains U.S. Country Code Address Do you, your spouse or any company controlled by you (with 35% or more voting rights) maintain any other account(s) with ☐ No ☐ Yes, please provide details: Account Name Account No. Account Name Account No.

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Applicant's signature:	

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\$)** Approximate Net Asset Value (HK\$)(Total Assets - Total Liabilities) ☐ Under HK\$200.000 ☐ Under HK\$500.000 ☐ HK\$200.000 - HK\$500.000 ☐ HK\$500,000 - HK\$3,000,000 ☐ HK\$500,001 - HK\$1,000,000 ☐ HK\$3,000,001 - HK\$5,000,000 ☐ HK\$1,000,001 - HK\$5,000,000 ☐ HK\$5,000,001 - HK\$30,000,000 ☐ Above HK\$5,000,000 ☐ Above HK\$30,000,000 Other Income Source: _ **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 Investments Pension ☐ Sale of Property ☐ Savings from Earnings / Bonus ☐ Return on Investments ☐ Inheritance / Gift Commission Others, please specify: ___

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Applicant's signature:	

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:

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客户资料声明 - 联名账户持有人



中银国际证券有限公司

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

联名账户持有人之个人资	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	1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				
		- - - - - - - - -	J - L			
传真号码		联络号码(电话或传)	真)			
		为一个美国号码		□是	□否	
电邮地址						
住宅地址 (不接受邮政信箱)						
			(由	『政编号:)
永久地址 (如与上述不同) (不掛	接受邮政信箱)					
			(由	『政编号:)
住宅类别						
□与父母同住	□ 自置 (无按揭)	□按揭/每月供款\$				
□ 亲属楼宇	□宿舍	□租用/每月租金\$				
就业情况						
自雇	□全职	□兼职	□现差	卡有就业		
退休	□全职学生	□家庭主妇	□其何	也 (请注明)_	, , , , , , , , , , , , , , , , , , , ,	
雇主名称			亚	务性质		
公司电话		现职年期		职位		
公司地址						
与其他联名账户持有人的关系						



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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			
账户之最终实益拥有人				
阁下是否此账户的最终实益拥有人? (此资料是根据香港证券及期 □ 是 □ 否,请提供最终实益拥有人的详细资料:	货事务监察委员会所制定之「客户身份规则」要求而索取)			
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			
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	美国绿卡持有人 □是 □否			
联络号码	联络号码(电话或传真) 为一个美国号码 □是 □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?				
账户名称	账户号码			
账户名称	账户号码			

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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) 估计资产净值 (港元) (总资产-总负债) □ HK\$200,000以下 □ HK\$500,000以下 ☐ HK\$200,000 - HK\$500,000 ☐ HK\$500,000 - HK\$3,000,000 ☐ HK\$500,001 - HK\$1,000,000 ☐ HK\$3,000,001 - HK\$5,000,000 ☐ HK\$1,000,001 - HK\$5,000,000 ☐ HK\$5,000,001 - HK\$30,000,000 □ HK\$5,000,000以上 □ HK\$30,000,000 以上 □ 其他收入来源:_____ 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:______

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Applicant's signature:	

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。

中頃人金者 (此签署将被视作签署式样)	
申请人签署:	日期: