

Client Identification Data Update

客户识别信息更新

In accordance with the regulatory requirements of the SFC, CID of a client should be collected from the identity document which is first mentioned in the list below save that where the client does not hold such document, the next mentioned document should be used and so forth: (1) legal entity identifier (“LEI”) registration document; or (2) certificate of incorporation; or (3) certificate of business registration; or (4) other equivalent identity document.

根据证监会的监管要求，客户的客户识别信息应收集自以下清单首述的身分证明文件，如客户并无持有该文件，则应使用所提述的下一份身分证明文件，如此类推：

- (1) 法律实体识别编码（legal entity identifier，简称 LEI）登记文件；或
- (2) 公司注册证明书；或 (3) 商业登记证；或 (4) 其他同等文件；

Please check if your company holds a LEI registration document and take appropriate action:

烦请贵司检查是否持有 LEI 登记文件，并提供以下信息：

- 1) If your company holds a LEI registration document, please provide the following information with a copy of LEI registration document.

如贵司持有 LEI 登记文件，请填写下方表格并**提供相关副本**。

Type of Identity Document 身份证明文件类型	Legal Entity Identifier (“LEI”) registration document 法律实体识别编码登记文件
LEI Code 法律实体识别编码	
Next Renewal Date 下次续约日期	

- 2) If your company does not hold a LEI registration document, please tick the box below.

如贵司没有 LEI 登记文件，请在以下方框中打“√”。

☐ Our company does not hold a LEI registration document.

我司未持有法律实体识别编码（LEI）登记文件

Consequences of failing to provide your CID

未能按优先次序要求提供身份证明文件的后果

Failure to provide us with your CID as specified and required by SFC may mean, that we will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any) after the implementation of HKIDR and OTCR.

贵司如未能按照证监会指定的优先次序要求向我们提供所需的身份证明文件，可能意味着在香港投资者识别码及场外交易制度实施后，我们不会或不能够再（视情况而定）执行贵司的交易指示或向贵司提供证券相关服务，惟出售、转出或提取贵司现有的证券持仓（如有）除外。

Acknowledgement and Consent

确认和同意

By signing the form below, I acknowledge, undertake and agree with the following:

签署以下表格，即代表贵司确认、承诺并同意以下事项：

☐ *I confirm that the identity document is provided to BOCIS in accordance with the order of priority on the type of identity document as specified and required by the SFC. If there are any update to my identity document or any previously provided identity documents, I will notify BOCIS immediately and provide a copy of the updated identity documents.*

我司确认已阅读并理解证监会指定的身份证明文件优先次序要求，并已按照优先次序要求提供相应的身份证明文件。若已提供的身份证明文件或是身份证明文件的优先次序有任何更新，我司将会立即通知中银国际，并提供相应的身份证明文件副本。

Signature 签名:	
Name of Signor 姓名:	
Capacity 身份: _____ (E.g. director or authorized person of a company, partner of a partnership, trustee of a trust etc.) (例如：公司的董事或获授权人、合伙的合伙人、信托的受托人等)	
Account Name 账户名称:	
Account Number 账户号码:	
Date 日期:	

For Official Use Only	
Signature Verified	Checked By
Y/N	

Explanatory Notes 注释

1. BOCI Securities Limited and its group companies shall not be responsible or liable for any loss or damage, directly or indirectly, arising from the use of or reliance upon any information provided in this document.

中银国际证券有限公司及其集团公司一概不负任何因使用或依赖本声明书提供的任何信息而引起的直接或间接的损失或损害。

2. The terms “BCAN” and “CID” used in this letter shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.”

本声明书所述的“券商客户编码”及“客户识别信息”具有《证券及期货事务监察委员会持牌人或注册人操守准则》第 5.6 段所界定的含义。

3. In the event of any conflict between any provision of the English version of this document and the Chinese version, the English version shall prevail.

若本声明书的任何条文的中英文版本有抵触时，概以英文版本为准。