

Changjiang Securities Brokerage (HK) Limited ("CJSBHK")
 長江證券經紀(香港)有限公司 (「長江證券經紀」)
 (CE No 中央編號: **AXY608**)

Client Profile Confirmation Form (For Individual & Joint Account)
客戶資料確認表格 (個人及聯名客戶)

To 致 **Changjiang Securities Brokerage (HK) Limited**
 長江證券經紀(香港)有限公司

Account Information 帳戶資料

Account No.:

帳戶號碼: _____

Account Name:

帳戶姓名: _____

*For a joint account, each of the account holders must complete and sign a separate Enhanced Customer Due Diligence Questionnaire.
 如為聯名帳戶，各帳戶持有人必須填寫及簽署各自的進階盡職審查問卷。*

IMPORTANT NOTES 重要備註

- Please only answer those questions which you have not answered before OR if the relevant information which you previously provided to Changjiang Securities Brokerage (HK) Limited (collectively known as "CJSBHK" or "us") has changed but you have not yet informed CJSBHK of the change(s).
 若閣下從未向長江證券經紀(香港)有限公司 統稱「長江證券經紀」或「我們」就有關問題提供資料，或閣下的有關資料已更改而沒有通知長江證券經紀，請回答有關問題。
- If you maintain more than one account with CJSBHK 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.
 若閣下在長江證券經紀開立多於一個帳戶，而閣下就個別問題的回覆乃針對閣下某帳戶的情況，敬請在該回覆旁邊說明所指的帳戶，或就閣下每一帳戶分別填報此表格。
- We will assume there is no change to your relevant information if a question is not answered.
 如閣下就個別問題未有提供資料，我們會視為閣下的有關資料並無更改。
- Please complete in Block Letters and tick where applicable.
 請用正楷填寫，並在適當地方加上剔號。

Please answer the following questions and complete relevant part(s) of this form. 請閣下回答以下問題，並根據指示填妥此表格之相應部份:

- Has there been any change to your information 閣下之資料是否有改變?
 Yes 是 → Please answer the relevant question(s) in **Part 1** 請回答**第1部份**之相關問題
 No 否
- Has there been any changes to your employment financial & Investment profile 閣下之工作、財務及投資狀況是否有改變?
 Yes 是 → Please answer the relevant question(s) in **Part 2** 請回答**第2部份**之相關問題
 No 否
- Has there been any change to the disclosures of identity 閣下之身份披露是否有改變?
 Yes 是 → Please answer the relevant question(s) in **Part 3** 請回答**第3部份**之相關問題
 No 否
- Has there been any changes to the self-certification (including CRS status/classification) 閣下之自我證明資料(包括共同匯報標準身份/類別)是否有任何變動?
 Yes 是 → Please answer the relevant question(s) in **Self-Certification Form** 請回答**自我證明表格**內之相關問題
 No 否

1) PERSONAL INFORMATION 個人資料

Chinese Name 中文姓名	English / Pinyin Name 英文/拼音姓名		
ID No / Passport No 身份證號碼/護照號碼	Nationality 國籍	Gender 性別	<input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女
Home Address 住宅地址		(Postal Code 郵編: _____)	
Home Tel No. 住宅電話號碼	Mobile Phone No. 手提電話號碼	Fax No. 傳真號碼	
E-mail Address 電子郵件地址			

2) EMPLOYMENT, FINANCIAL & INVESTMENT PROFILE 就業、財務及投資狀況		
2A) EMPLOYMENT PROFILE 就業狀況		
Employment Information 受僱資料 <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Other 其他 _____		
Name of Employer 僱主名稱		Nature of Business 業務性質
Position 職位	Office Tel No. 辦事處電話號碼	Office Fax No. 辦事處傳真號碼
Office Address 公司地址		(Postal Code 郵編: _____)

2B) CLENT FINANCIAL INFORMATION, INVESTMENT OBJECTIVES & EXPERIENCE 客戶財務資料、投資目的及經驗		
i) Estimated Annual Income 估計每年收入 (HK\$港幣)		
<input type="checkbox"/> Under / 以下 \$200,000 <input type="checkbox"/> \$200,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> Over / 以上 \$5,000,000 (Please state the value to 請註明數值至: _____)		
ii) Estimated Total Net Worth 估計客戶資產淨值 (HK\$港幣)		
<input type="checkbox"/> Under / 以下 \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$2,000,000 <input type="checkbox"/> \$2,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> Over / 以上 \$10,000,000 (Please state the value to 請註明數值至: _____)		
iii) Source(s) of Funds 資金來源 (Please tick one or more 可選擇下列一項或多項)		
<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Business Income 業務收入 <input type="checkbox"/> Retirement Funds 退休金 <input type="checkbox"/> Return on Investment 投資回報 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Loan 借貸 <input type="checkbox"/> Others 其他 _____		
iv) Estimated Investment Amount 估計投資金額 (HK\$港幣)		
<input type="checkbox"/> Under / 以下 \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> Over / 以上 \$10,000,000		
v) Investment Objective(s) 投資目的 (Please tick one or more 可選擇下列一項或多項)		
<input type="checkbox"/> Capital Gain 資本增值 <input type="checkbox"/> Dividend Income 股息收入 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Others (Please specify) 其他(請說明) _____		
vi) Investment Experiences 投資經驗		
Investment Products 投資產品:		
<input type="checkbox"/> Nil 沒有 <input type="checkbox"/> Stock/Warrant 股票/認股權證 <input type="checkbox"/> Futures/Option 期貨/期權 <input type="checkbox"/> Bonds/Funds 債券/基金 <input type="checkbox"/> Others 其他 _____		
Years of Experiences 投資經驗:		
<input type="checkbox"/> Nil 沒有 <input type="checkbox"/> 1-3 years 年 <input type="checkbox"/> 3-5 years 年 <input type="checkbox"/> 5-10 years 年 <input type="checkbox"/> Over 10 years 超過十年		
vii) Knowledge of Derivatives 衍生產品的認識		
<input type="checkbox"/> I/We have NOT acquired knowledge of derivative products (e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodity, Structured Products and Exchange Traded Fund etc, whether traded on an exchange or not) 本人/吾等沒有衍生產品之認識(例如: 衍生權證、牛熊證、股票期權、期貨及期權、商品、結構性產品及交易所買賣基金等、不論是否於交易所進行交易)(*** if tick this box, it represents NO trading function for derivative products 如勾選此項, 代表沒有交易衍生產品的功能***)		
<input type="checkbox"/> I/We understand the nature and risks of derivative products by: 本人/吾等了解衍生產品的性質和風險		
<input type="checkbox"/> By undergoing training or attending courses that provide general knowledge of the nature and risk of derivatives 已接受有關介紹一般衍生產品之性質及風險的培訓或課程 Please specify 請註明		
<input type="checkbox"/> From my/our current or previous work experience related to derivative products 從本人/吾等現時或過去與衍生產品有關的工作經驗 Please specify 請註明		
<input type="checkbox"/> From my/our relevant trading experience i.e. I/we have executed five or more transactions within the past three years in derivative products 從本人/吾等相關之交易經驗, 即本人/吾等於過去三年內已進行了五次或以上有關衍生產品之交易		
<input type="checkbox"/> However, I/We will NOT trade derivative products with and through CJSBHK and/or CJFHK. 然而本人/吾等不會在長江證券經紀及/或長江證券期貨進行衍生產品買賣交易。 (***) if tick this box, it represents NO trading function for derivative products unless otherwise requested 如勾選此項, 代表沒有交易衍生產品的功能, 除非日後另行要求***)		

3) DISCLOSURE OF IDENTITY 相關身份披露

i) Is the Client an employee or relative of any employee or director or representative of Changjiang Securities International Financial Group Limited ("CJSIFG") or any of its subsidiaries?

客戶是否長江證券國際金融集團有限公司(「長證國際」)或其任何附屬公司之僱員或與其任何僱員、董事或持牌代表有親屬關係?

No 不是

Yes (Please specify) 是(請詳述)

Name of employee / director / representative 僱員/董事/代表姓名 _____

Relationship 關係 The Client 客戶本人 Spouse 配偶 Parents 父母 Children 子女 Others 其他 _____

ii) Identity of the ultimate beneficial owner(s) of the Account 帳戶最終權益擁有人(等)的身份

The Client 客戶本人

Others (Please provide copy of his/her identity card and address proof) 其他(請提供其身份證明文件及住址證明副本)

Name 姓名 _____ HKID/Passport No. 香港身份證/護照號碼 _____

Address 地址 _____

iii) Identity of the person(s) ultimately responsible for originating instructions in relation to transactions under the Account

就此帳戶進行交易的最終負責發出指示的身份

The Client 客戶本人

Others (Please provide completed "Third Party Trading Authorization" and copy of his/her identity card and address proof)

其他(請提供已填妥"第三者操作帳戶授權書"及其身份證明文件及住址證明副本)

Name 姓名 _____ HKID/Passport No. 香港身份證/護照號碼 _____

Address 地址 _____

iv) Is the Client an employee or director or accredited person of any licensed or registered person with the Securities and Futures Commission?

客戶是否證券及期貨監察委員會持牌人或註冊人之僱員、董事或持牌代表?

No 不是

Yes (Please specify and provide employer's consent letter) 是(請詳述及提供僱主之書面同意書)

Name of Licensed or Registered Person 持牌人或註冊人士名稱 _____

v) Is the Client a director, employee or substantial shareholder (controlling not less than 10% of the shares) of any listed company in Hong Kong?

客戶是否任何香港上市公司之董事/僱員/大股東(持有不少於10%的股份)?

No 不是

Yes (Please specify) 是(請詳述) _____

vi) Does the Client or his/her related person (including spouse) maintain or operate any other account with CJSIFG or any of its subsidiaries?

客戶或其關連人士(包括其配偶)是否於長證國際或其任何附屬公司持有或運作任何帳戶?

No 不是

Yes (Please specify) 有(請詳述)

Account Name 帳戶名稱 _____ Account No 帳戶號碼 _____ Relationship 關係 _____

vii) Is any of the Client(s), ultimate beneficial owner(s) or authorized person of the Account or his / her spouse, partner, child, parent, spouse or partner of his / her child, or close associate a politically exposed person, senior government official or senior executive of a state owned corporation?

客戶、任何帳戶最終權益擁有人或授權人士或其配偶、伴侶、子女或父母、或其子女的配偶或伴侶、或與其關係密切的人是否為政治人物、高級政府官員或國有企業高級行政人員?

No 不是

Yes (Please specify) 是(請詳述) _____

viii) Is the Client or ultimate beneficial owner of the Account a citizen or resident of the United States of America for tax purposes?

客戶或帳戶最終權益擁有人是否美國公民或就有關稅務目的而言屬美國居民?

No 不是

Yes (Please provide SSN or ITIN) 是(請提供美國納稅人編號) _____

4) ACKNOWLEDGEMENT, UNDERTAKING AND DECLARATION 確認、承諾及聲明

Please complete either section (A) or (B) below. Section (A) shall be completed and signed by the client. Section (B) shall be completed and signed by CJSBHK's Licensed Person. 請填寫下列(A)部分或(B)部分。

(A)部分是由客戶填寫及簽署。(B)部分是由長江證券經紀持牌人填寫及簽署。

4A) DECLARATION BY CLIENT 客戶聲明

I/We, the undersigned, confirm that all the information provided in or otherwise in connection with this Client Profile Confirmation Form is, and in respect of any information provided hereafter, shall be, at the time of provision, true, accurate, complete and up to date, and authorize CJSBHK to confirm and verify this from any persons or entities CJSBHK considers appropriate, including but not limited to the credit agencies. CJSBHK is entitled to rely fully on such information and representations for all purposes, unless CJSBHK receive notice in writing of any changes. I/We confirm and undertake to notify CJSBHK immediately of any changes to any of the aforesaid information. I/We understand and agree that unless otherwise indicated CJSBHK in writing, any such changes will not come into effect until 5 working days after the actual receipt of the relevant written notification by CJSBHK.

本人(等), 即以下簽署人, 確認本人(等)現時及其後於此「客戶資料確認表格」或與其有關所提供的資料乃屬真實、準確、完整及最新, 並授權長江證券經紀可在其認為恰當的情況下向任何人士或實體確定和查證, 包括但不限於信貸機構。除非長江證券經紀收到任何客戶資料改變的書面通知, 長江證券經紀將有權依據這些資料, 作任何用途或目的。如所提供之資料有任何更改, 本人(等)確認及承諾立刻以書面通知長江證券經紀。本人(等)明白及同意除非由長江證券經紀另作書面通知, 否則該資料更改只會於長江證券經紀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。

I/We understand that, in the event of any discrepancy between the English and Chinese version, the English version shall prevail.

本人(等)明白, 倘若中文版本與英文版本在解釋或意義方面有任何歧義, 應以英文版本為準。

I/We confirm that I/we have read, fully understand and agree to all the terms and conditions contained hereinabove

吾等確認吾等已閱讀並同意以上所有條款及條件。

Client Signature 客戶簽署:	Client Name 客戶姓名:
	Date 日期:

Please use the signature(s) on file with us. 請用留存本行記錄的簽署式樣

OR 或

4B) DECLARATION BY CJSBHK'S LICENSED PERSON 長江證券經紀持牌人士聲明

I confirmed that I received the above client information via tape recording system with details as below

本人確認本人透過電話錄音系統接收上述客戶資料(詳情如下)

Signature of the CJSBHK's licensed person 長江證券經紀持牌人士簽署:	Name of licensed person 持牌人士名稱:
	Recorded Phone Date & Time 電話錄音日期及時間:
	Recorded Phone Number 錄音電話號碼:
	Date 日期:

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Handled & S.V. By:	Approved By:	Data Inputted By:	Checked By:	Remarks:
Name:	Name:	Name:	Name:	Name:
Date:	Date:	Date:	Date:	Date: