

Client Identification Data on the Hong Kong Investor Identification Regime (HKIDR) and the Over-the-counter Securities Transaction Reporting Regime (OTCR)

香港投資者識別碼制度及場外證券交易匯報制度客戶識別信息

| Client Identification Data 客戶識別信息 | | | |
|--|--------------------------------|--------|--|
| <p>According to the Hong Kong Investor Identification Regime and the OTC Securities Transaction Reporting Regime, your company are required to provide the relevant categories of identification documents in the following order of priority: (1) Legal Entity Identifier (LEI); (2) Certificate of Incorporation; (3) Business Registration Certificate; (4) other equivalent documents. 根據香港投資者識別碼制度及場外證券交易匯報制度，貴司需按以下優先次序提供有關類別的客戶識別文件：(1) 法律實體識別編碼 (LEI)；(2) 公司註冊證明書；(3) 商業登記證；(4) 其他同等文件。</p> <p>Please confirm if your company is holder of the identity document below. 請貴司確認是否持有以下客戶識別信息。</p> | | | |
| Legal Entity Identifier (LEI) 法律實體識別編碼 | <input type="checkbox"/> Yes 是 | No. 號碼 | |
| | <input type="checkbox"/> No 否 | | |
| Certificate of Incorporation 公司註冊號碼 | <input type="checkbox"/> Yes 是 | No. 號碼 | |
| | <input type="checkbox"/> No 否 | | |
| Business Registration 商業登記號碼 | <input type="checkbox"/> Yes 是 | No. 號碼 | |
| | <input type="checkbox"/> No 否 | | |
| Other equivalent document (please specify) 其他同等文件(請注明) | <input type="checkbox"/> Yes 是 | No. 號碼 | |
| | <input type="checkbox"/> No 否 | | |

* Please enclose a copy of the registration document if your company have not provided before. 如貴司早前未提供過相關註冊文件，請附上相關文件副本。

Acknowledgement and Confirmation 知悉及確認

By signing below, your company acknowledge, undertake and agree with the following: 貴司在以下簽署，即代表貴司確認、承諾並同意以下事項：

- (a) Your company understand and have full knowledge of the waterfall of the acceptable client identity documents under the HKIDR and OTCR. 貴司理解並充分掌握在香港投資者識別碼制度及場外證券交易匯報制度可接受的身分證明文件排序表。
- (b) If (i) your company have obtained identity document in priority to the identity document previously provided to us under the waterfall of the acceptable client identity documents pursuant to the HKIDR and the OTCR; or (ii) there is any update in the details on the identity document that was previously provided,

your company will inform us promptly and provide us with the relevant Identity document. 若(i) 貴司持有在香港投資者識別碼制度及場外證券交易彙報制度下比早前向我司提供的客戶識別文件排序靠前的客戶識別文件; 或(ii) 貴司的客戶識別文件信息較早前向我司提供的資料有更新, 貴司會立即知會我司並提供相關客戶識別文件。

Signed by 簽署 : _____

Name of Authorized Signer 授權人士名稱 : _____

Name of client 客戶名稱 : _____

Account No. 帳戶號碼: _____

Date 日期 : _____