

Customer Profile Confirmation

客戶資料確認書

In order to provide you with a higher standard of service and to comply with applicable legal and regulatory requirements, we would like to update your customer record with Eddid Securities and Futures Limited ("ESFL"). Please read the "IMPORTANT NOTES" in the grey box below, then complete this form and return the completed form to us by email to cskh@eddidsec.com (Attn.: Customer Service Department) **from your registered email address**. 為提供更優質的服務及遵從適用法律及規管性之規定，艾德證券期貨有限公司(「艾德證券期貨」)希望能定期更新閣下的客戶資料。懇請閣下先參閱以下灰格內之「重要備註」部分及填妥以下表格，並將已填妥之表格由您的登記電郵發送至 cskh@eddidsec.com 客戶服務部收。

If you have any questions, please contact our Customer Service Hotline at +852 2655 0338.

如有任何查詢，請聯絡我們的客戶服務熱線+852 2655 0338。

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 us has changed but you have not yet informed us of the change(s).
若閣下從未向本公司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本公司，請回答有關問題。
- If you maintain more than one account with ESFL 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.
若閣下在艾德證券期貨開立多於一個賬戶，而閣下個別問題的回覆乃針對閣下某賬戶的情況，敬請在該回覆旁邊說明所指的賬戶，或就閣下每一賬戶分別填報此表格。
- 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。

Note 註： (i) Please tick the appropriate box 請在合適的方格內打勾；(ii) Please choose one of the options only 請選擇其中一項

INDIVIDUAL ACCOUNT 個人賬戶

Name of Account Holder 戶口持有人姓名：_____ Account No(s). 賬戶編號：_____

- ☐ I hereby confirm all the information previously provided to ESFL and/or its affiliated companies has not been changed.
本人確認早前提供給艾德證券期貨及/或其關聯公司的所有資料並無更改。(Please go to Section D 請跳往第四部分)
- ☐ There is change of my information and I hereby provide relevant updated information to ESFL and/or its affiliated companies through this Confirmation.
本人的資料曾作出更改，會就相關更新填寫本確認書以提供最新資料予艾德證券期貨及/或其關聯公司。

SECTION A 第一部分：Particulars of the Customer 客戶資料

- (A1) Residential Address 住宅地址*：_____
U.S. Address 美國地址 ☐ Yes 是 ☐ No 否
- (A2) Mailing Address 郵寄地址*：_____
☐ Same as Residential Address 與住宅地址相同
☐ Otherwise, please specify 若與住宅地址不同，請說明*：_____
U.S. Address 美國地址 ☐ Yes 是 ☐ No 否
- (A3) Nationality 國籍**：_____
- (A4) Type of Identity Document 身份證件類型：_____
- (A5) ID Card No. / Passport ID Card No. 身份證或護照號碼：_____
- (A6) Country Issued 簽發國家：_____
- (A7) Tel No. (for communication) 電話號碼(用於通訊)：_____
U.S. Tel No. 美國電話號碼 ☐ Yes 是 ☐ No 否
- (A8) Email Address (for communication and received e-statements) 電郵 (用於通訊及接收電子結單)：_____
- (A9) Employment Status 就業情況
☐ Employed 就業 ☐ Unemployed 無業 ☐ Self-employed 自僱 ☐ Retired 退休
☐ Others, please specify 其他，請說明：_____
- (A10) Name of Current Employer 目前僱主名稱：_____
- (A11) Business Address 辦公室地址：_____
U.S. Address 美國地址 ☐ Yes 是 ☐ No 否
- (A12) Nature of Business 業務性質：_____ (A13) Position 職位：_____
- (A14) Years of Employed 受僱年期：_____ (A15) Business Phone No. 辦公室電話：_____

* Please provide proof of your new address (e.g. utility bill or bank statement issued within the last 3 months).

請提供上述已更新的地址之證明 (如最近三個月內發出的水 / 電 / 煤氣費單或銀行月結單)。

** Please provide a copy of the ID document which shows your new nationality.

請提供上述已更新國籍之身份證文件的副本。

艾德證券期貨有限公司 Eddid Securities and Futures Limited

香港中環添美道1號中信大廈21樓 21/F, CITIC Tower, 1 Tim Mei Avenue, Central, Hong Kong

☎ (852) 2655 0338

SECTION B 第二部分：Financial Information 財務資料

- (B1) Have you changed your investment objective, investment experience, investment horizon and/or risk tolerance level?
閣下的投資目標、投資經驗、投資期及 / 或可承受風險程度是否有改變?
☐ Yes 是 **We will contact you to complete ESFL's Customer Profiling Questionnaire 我們將會聯絡 閣下完成本公司的客戶分析問卷**
☐ No 否
- (B2) Total Annual Income (HKD) 客戶全年總收入為(港元):
☐ ≤ \$200,000 ☐ \$200,001 - \$500,000 ☐ \$500,001 - \$1,000,000
☐ > \$1,000,001 (Please specify 請說明: _____)
- (B3) Total Net Worth (HKD) 客戶資產淨值(港元):
☐ ≤ \$1,000,000 ☐ \$1,000,001 - \$3,000,000 ☐ \$3,000,001 - \$8,000,000
☐ > \$8,000,001 (Please specify 請說明: _____)
- (B4) Source(s) of Fund / Wealth for trading (Check all apply) 客戶交易的資金 / 財富來源(選擇所有適用者):
☐ Savings 儲蓄 ☐ Employment 就業薪金 ☐ Self-Employment Business 自營業務收入
☐ Pension 退休金 ☐ Investment 投資 ☐ Others 其他 (Please specify 請說明: _____)

SECTION C 第三部分：General Information 一般資料

- (C1) Have you ever declared bankrupt or served with a bankruptcy petition? 閣下是否曾經宣告破產或被申請破產?
☐ No 否
☐ Yes 是, Date of Bankruptcy 破產日期: _____
*Please provide the Certificate of Discharge 請提供破產解除證明書
- (C2) Are you employed by or related to someone who is employed by ESFL?
閣下是否為艾德證券期貨的僱員或任何其僱員的親屬?
☐ No 否
☐ Yes 是, Name and Relationship of ESFL's employee 艾德證券期貨僱員名稱及關係: _____
- (C3) Are you related to any ESFL clients? 閣下是否與任何艾德證券期貨的客戶有關連?
☐ No 否
☐ Yes 是, Name of ESFL's client 艾德證券期貨客戶名稱: _____
- (C4) Are you a director or an employee of the Securities and Futures Commission ("SFC") licensed entity, or an accredited person of any exchange participant of the Hong Kong Exchange or any licensed or registered person of SFC?
閣下是否香港交易所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士?
☐ No 否
☐ Yes 是, I am a director or an employee or an accredited person of the following exchange participant of the Hong Kong Exchange or licensed or registered person of the Securities and Futures Commission: (Please provide details)
本人為以下香港交易所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士: (請詳述)

*Please provide employer's consent letter 請提供僱主同意書
- (C5) Are you a U.S. citizen or lawful permanent resident status? 閣下是否美國公民或擁有美國合法永久居民身份?
☐ No 否
☐ Yes 是, Taxpayer Identification No. (T.I.N) 稅務編號: _____
- (C6) Are you a US resident for tax purpose? 就稅務而言, 閣下是否美國居民?
☐ No 否
☐ Yes 是, Taxpayer Identification No. (T.I.N) 稅務編號: _____
- (C7) Are you a Politically Exposed Person ("PEP") or related to PEP as defined by the statutes in Hong Kong?
閣下是否香港法律定義下的政治人物("PEP")或與政治人物有密切聯繫?
☐ No 否
☐ Yes 是, Position / Name of PEP 職位 / 政治人物名稱: _____
- (C8) This question only applies to customer(s) who maintain(s) margin securities trading account(s) with ESFL
此問題只適用於在艾德證券期貨持有保證金證券交易賬戶的客戶
(i) Is your spouse a margin client of ESFL? (If yes, please provide details.)
閣下的配偶是否艾德證券期貨之保證金交易賬戶客戶? (如是, 請詳細說明。)
☐ Yes 是 (_____) ☐ No 否
(ii) Do you alone or jointly with your spouse control 35% or more of the voting rights of a corporate margin client of ESFL? (If yes, please provide details.) 閣下是否單獨或與配偶共同控制艾德證券期貨任何一個保證金公司客戶 35%或以上的表決權? (如是, 謹請詳細說明。)
☐ Yes 是 (_____) ☐ No 否
(iii) Are/ were you at any time during the past 12 months, directly or indirectly (e.g. through a corporate), whether or not together with other person(s) and/or entity(ies), connected or associated with any director (including any ex-director within the past 12 months), chief executive or substantial shareholder* of ESFL ("Connected Person")***? If yes, please provide such details.
閣下是否現在或於過去十二個月內任何時間, 直接或間接 (例如: 透過法人團體), 不論是否聯同其他人士及 / 或實體, 跟艾德證券期貨的任何董事 (包括過去十二個月內之前董事)、行政總裁或主要股東有所關連(「關連人士」)**? (如是, 請提供詳情)
☐ Yes 是 (_____) ☐ No 否

*"substantial shareholder" means in relation to a company, a person who is entitled to exercise, or control the exercise of, 10% or more of the voting power at any general meeting of that company.

「主要股東」指，就一間公司而言，任何人士其於該公司之任何股東大會擁有權行使，或可控制行使，10%或以上之投票權。

** Examples of Connected Person include a spouse, child (legitimate or not, natural or adopted), step-child (legitimate or not, natural or adopted), parent, father-in-law, mother-in-law, son-in-law, daughter-in-law, grandparent, grandchild, uncle, aunt, cousin, brother-in-law, sister-in-law, nephew and niece of the above-mentioned director, ex-director, chief executive or substantial shareholder, a trustee of or for any of the foregoing persons and a partner of any of the foregoing persons and a partner of any of the foregoing persons (including any aforesaid trustee).

有關連人士例子包括上述董事、前董事、行政總裁或主要股東之配偶、子女（不論是否合法，親生或領養）、繼子女（不論是否合法，親生或領養）、父母、配偶的父母、子女的配偶、祖父母、外祖父母、孫及外孫、父母的兄弟姐妹及其配偶、堂兄弟姐妹、表兄弟姐妹、兄弟姐妹的配偶、配偶的兄弟姐妹、以及兄弟姐妹的子女、任何前述人士的或為任何前述人士的受託人及任何前述人士（包括任何前述受託人）的合夥人。

For questions (C1) to (C3) above, if the answer is different from our record, we will ask you to sign and return to us a written declaration. Please also submit the following documents for each of the Originator(s), Beneficial Owner(s) and/or Authorized Person(s): copies of their HKID or passport or such other official identification document acceptable to ESFL; and a utility bill or bank statement issued within the last 3 months in order to verify the name and address of each of the Originator(s) and/or Beneficial Owner(s).

如上述問題（C1）至（C3）之答案與本公司紀錄不同，本公司將會與閣下聯絡並安排簽署有關的書面聲明。請同時遞交每一位最終負責作出交易指示的人士、實益擁有人及／或有權操作此賬戶的人士的有關文件：香港身份證、護照或艾德證券期貨接納的其他身份證明文件副本及證明每一位最終負責作出交易指示的人士及／或實益擁有人之姓名及地址的最近三個月內發出的水／電／煤氣費單或銀行月結單。

SECTION D 第四部分：Customer Acknowledgement 客戶確認

I, the undersigned, confirm that all the information provided in or otherwise in connection with this Knowing You Better – Customer Profile Confirmation is, and in respect of any information provided hereafter, shall be, at the time of provision, true, accurate, complete and up-to-date and in compliance with all applicable legal and regulatory requirements. I undertake to notify ESFL immediately in writing of any change(s) to any of the aforesaid information. I understand and agree that unless otherwise indicated by ESFL in writing, any such change will not come into effect until 5 working days after the actual receipt of the relevant written notification by ESFL. ESFL may contact any persons or entities, including but not limited to banks, brokers or credit agencies for verification of any of the information provided (or any part of it).

本人，即以下簽署人，確認本人現時及其後於此「讓我們更了解您 - 客戶資料確認」或與其有關所提供之資料皆為真實、準確、完整、最新及遵從所有適用法律及規管性之規定。如所提供的資料有任何更改，本人承諾立即以書面通知艾德證券期貨。本人明白及同意除非由艾德證券期貨另作書面知會，否則該資料更改只會於艾德證券期貨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。艾德證券期貨可聯絡任何人士或實體，包括並不限於銀行、證券行或信貸機構以核實閣下提供之資料（或其任何部分）。

Agreed by the undersigned# 同意並簽署如下#

Date 日期: _____
(DD 日/MM 月/YYYY 年)

This should be the same as the specimen authorized signature(s) that you previously provided to us.
必須與閣下之前提供本公司的授權簽署式樣相同。

For Official Use Only 只供內部使用

Checked by: Name: _____ Ext. _____ Time: _____ Date: _____	Approved by: Name: _____ Date: _____	Processed by: Name: _____ Date: _____
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