

Customer Profile Confirmation

客户资料确认书

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 cs@eddidsec.com (Attn.: Customer Service Department) **from your email address on file.**

为提供更优质的服务及遵从适用法律及规管性之规定，艾德证券期货有限公司(「艾德证券期货」)希望能定期更新阁下的客户资料。恳请阁下先参阅以下表格内之「重要备注」部分及填妥以下表格，并将已填妥之表格由您开户之登记电邮发送至 cs@eddidsec.com 客户服务部收。

If you have any questions, please contact our Customer Service Hotline at +852 2655 0300. 如有任何查询，请联络我们的客户服务热线+852 2655 0300。

IMPORTANT NOTES 重要备注:

- 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).
若阁下从未向本公司就有关问题提供资料，或阁下的有关资料已更改而没有通知本公司，请回答有关问题。
- 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.
若阁下在艾德证券期货开立多于一个账户，而阁下一个别问题的回复乃针对阁下某账户的情况，敬请在该回复旁边说明所指的账户，或就阁下每一账户分别填报此表格。
- We will assume there is no change to your relevant information if a question is not answered.
如阁下一个别问题未有提供资料，我们会视为阁下的有关资料并无更改。

Note 注: *Please tick the appropriate box 请在合适的方格内打勾

**Please choose one of the options only 请选择其中一项

INDIVIDUAL ACCOUNT 个人账户

Name of Account Holder 户口持有人姓名: _____ Account No(s). 账户编号: _____

- ☐ I hereby confirm all the information previously provided to ESFL and/or its affiliated companies has not been changed.

本人确认早前提供给艾德证券期货及/或其关联公司的所有资料并无更改。(Please go to Section D 请跳往第四部分)

- ☐ There is change of my information and I hereby provide relevant updated information to ESFL and/or its affiliated companies through this Confirmation.

本人的资料曾作出更改，会就相关更新填写本确认书以提供最新资料予艾德证券期货及/或其关联公司。

SECTION A 第一部分: Particulars of the Customer 客户资料

(A1) Residential Address 住宅地址*: _____

U.S. Address 美国地址 ☐ Yes 是 ☐ No 否

(A2) Mailing Address 邮寄地址*: _____

☐ Same as Residential Address 与住宅地址相同

☐ Otherwise, please specify 若与住宅地址不同，请说明*: _____

U.S. Address 美国地址 ☐ Yes 是 ☐ No 否

(A3) Nationality 国籍**: _____

(A4) Type of Identity Document 身份证件类型: _____

(A5) ID Card No. / Passport ID Card No. 身份证或护照号码: _____

(A6) Country Issued 签发国家: _____

(A7) Place of Birth 出生地点: _____

(A8) Date of Birth (mm/dd/yy) 出生日期 (月/日/年): _____

(A9) Tel No. (for communication) 电话号码(用于通讯): _____

U.S. Tel No. 美国电话号码 ☐ Yes 是 ☐ No 否

(A10) Email Address (for communication and delivery of e-statements) 电邮 (用于通讯及发送电子结单): _____

(A11) Employment Status 就业情况

☐ Employed 就业

☐ Unemployed 无业

☐ Self-employed 自雇

☐ Retired 退休

☐ Others, please specify 其他，请说明: _____

(A12) Name of Current Employer 目前雇主名称: _____

(A13) Business Address 办公室地址: _____

U.S. Address 美国地址 ☐ Yes 是 ☐ No 否

(A14) Nature of Business 业务性质: _____ (A15) Position 职位: _____

(A16) Years of Employed 受雇年期: _____ (A17) Business Phone No. 办公室电话: _____

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 0300

(A18) Marital Status 婚姻状况:

- ☐ Single 未婚 ☐ Married with child(ren) 已婚有子女 ☐ Married without child(ren) 已婚未有子女
☐ Others 其他(Please specify 请说明: _____)

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

请提供上述已更新的地址之证明 (如最近三个月内发出的水 / 电 / 煤气费单或银行月结单)。

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

请提供上述已更新国籍之身份证文件的副本。

SECTION B 第二部分: Financial Information 财务资料

(B1) Have you changed your investment objective, investment experience, investment horizon and/or risk tolerance level?

阁下的投资目标、投资经验、投资期及 / 或可承受风险程度是否有改变?

- ☐ Yes 是 **We will contact you to complete ESFL's Customer Profiling Questionnaire 我们将会联络 阁下完成本公司的客户分析问卷**
☐ No 否

(B2) Total Annual Income (HKD) 客户全年总收入为(港元):

- ☐ ≤ \$200,000 ☐ \$200,001 - \$500,000 ☐ \$500,001 - \$1,000,000
☐ > \$1,000,001 (Please specify 请说明: _____)

(B3) Total Net Worth (HKD) 客户资产净值(港元):

- ☐ ≤ \$1,000,000 ☐ \$1,000,001 - \$3,000,000 ☐ \$3,000,001 - \$8,000,000
☐ > \$8,000,001 (Please specify 请说明: _____)

(B4) Source(s) of Fund / Wealth for trading (Check all apply) 客户交易的资金 / 财富来源(选择所有适用者):

- ☐ Savings 储蓄 ☐ Employment 就业薪金 ☐ Self-Employment Business 自营业务收入
☐ Pension 退休金 ☐ Investment 投资 ☐ Others 其他 (Please specify 请说明: _____)

SECTION C 第三部分: General Information 一般资料

(C1) Have you ever declared bankrupt or served with a bankruptcy petition? 阁下是否曾经宣告破产或被申请破产?

- ☐ No 否
☐ Yes 是, Date of Bankruptcy 破产日期: _____

*Please provide the Certificate of Discharge 请提供破产解除证明书

(C2) Are you employed by or related to someone who is employed by ESFL?

阁下是否为艾德证券期货的雇员或任何其雇员的亲属?

- ☐ No 否
☐ Yes 是, Name and Relationship of ESFL's employee 艾德证券期货雇员名称及关系: _____

(C3) Are you related to any ESFL clients? 阁下是否与任何艾德证券期货的客户有关连?

- ☐ No 否
☐ Yes 是, Name of ESFL's client 艾德证券期货客户名称: _____

(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? 阁下是否香港交易所之交易所参与者或证监会之持牌人或注册人之董事、雇员或认可人士?

- ☐ 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) 本人为以下香港交易所之交易所参与者或证监会之持牌人或注册人之董事、雇员或认可人士: (请详述)

*Please provide employer's consent letter 请提供雇主同意书

(C5) Are you a U.S. citizen or lawful permanent resident status? 阁下是否美国公民或拥有美国合法永久居民身份?

- ☐ No 否
☐ Yes 是, Taxpayer Identification No. (T.I.N) 税务编号: _____

(C6) Are you a US resident for tax purpose? 就税务而言, 阁下是否美国居民?

- ☐ No 否
☐ Yes 是, Taxpayer Identification No. (T.I.N) 税务编号: _____

(C7) Are you a "Politically Exposed Person (PEP)" or related to PEP as defined by the Hong Kong Law? 阁下是否香港法律定义下的“政治公众人物 (PEP)”或与政治公众人物有密切联系?

- ☐ No 否
☐ Yes 是, Position / Name of PEP 职位 / 政治公众人物名称: _____

(C8) This question only applies to customer(s) who maintain(s) margin securities trading account(s) with ESFL

此问题只适用于在艾德证券期货持有保证金证券交易账户的客户

(i) Is your spouse a margin client of ESFL? (If yes, please provide details.) 阁下的配偶是否艾德证券期货之保证金交易账户客户? (如是, 请详细说明。)

- ☐ 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.) 閣下是否单独或与配偶共同控制艾德證券期貨任何一个保证金公司客户 35%或以上的表决权? (如是, 谨请详细说明。)

☐ Yes 是 () ☐ No 否

(iii) Are/ were you at any time during the past 12 months, directly or indirectly (e.g. through a body 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. 閣下是否现在或于过去十二个月内任何时间, 直接或间接 (例如: 透过一法人团体), 不论是否联同其他人士及 / 或实体, 跟艾德證券期貨的任何董事 (包括过去十二个月内之前董事)、行政总裁或主要股东 2 有所关连(「有关人士」)**? (如是, 请提供详情)

☐ 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. 「主要股东」指, 就一间公司而言, 任何人士其于该公司之任何股东大会有权行使, 或可控制行使, 10%或以上之投票权。

** 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).

有关连人士例子包括上述董事、前董事、行政总裁或主要股东之配偶、子女 (不论是否合法, 亲生或领养)、继子女 (不论是否合法, 亲生或领养)、父母、配偶的父母、子女的配偶、祖父母、外祖父母、孙及外孙、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、任何前述人士的或为任何前述人士的受托人及任何前述人士 (包括任何前述受托人) 的合伙人。

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).

如上述问题 (C1) 至 (C3) 之答案与本公司纪录不同, 本公司将会与閣下联络并安排签署有关的书面声明。请同时递交每一位最终负责作出交易指示的人士、实益拥有人及 / 或有权操作此账户的人士的有关文件: 香港身份证、护照或艾德證券期貨接纳的其他身份证明文件副本及证明每一位最终负责作出交易指示的人士及 / 或实益拥有人之姓名及地址的最近三个月内发出的水 / 电 / 煤气费单或银行月结单。

SECTION D 第四部分: Customer Acknowledgement 客户确认

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, 即以下签署人, 确认本人现时及其后于此「让我们更了解您 - 客户资料确认」或与其有所提供之资料皆为真实、准确、完整、最新及遵从所有适用法律及规管性之规定。如所提供的资料有任何更改, 本人承诺立即以书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书面知会, 否则该资料更改只会于艾德證券期貨确实收到有关之书面通知当日起计五个工作天后才会生效。艾德證券期貨可联络任何人士或实体, 包括并不限于银行、证券行或信贷机构以核实閣下提供之资料 (或其任何部分)。

Agreed by the undersigned# 同意并签署如下#

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.
必须与閣下之前提供本公司的授权签署式样相同。

For Official Use Only 只供内部使用

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