

KGI ASIA LIMITED
HKIDR AND OTCR FORM – CORPORATE ACCOUNT

Under the Hong Kong investor identification regime (“HKIDR”) and the over-the-counter securities transaction reporting regime (“OTCR”), KGI Asia Limited (“KGIA”) is required to collect up-to-date client identity documents and identification data from its clients in accordance with the regulatory requirements.

Customer Identification Data (CID)

The order of priority of accepted identity documents required by the Securities and Futures Commission is set out below:

Please tick the appropriate box according to the order of priority of identity documents below if your corporation or trustee (as the case may be) holds such identification document, and provide cop(ies) of the up-to-date identity document(s) (if necessary).

Corporate client	Trustee of a client that is a trust*
<input type="checkbox"/> (1) Legal entity identifier (“LEI”) registration document <input type="checkbox"/> (2) Certificate of incorporation <input type="checkbox"/> (3) Business registration certificate <input type="checkbox"/> (4) Other equivalent identity document	<input type="checkbox"/> (1) HKID card <input type="checkbox"/> (2) National identification document <input type="checkbox"/> (3) Passport <u>OR</u> <input type="checkbox"/> (1) Legal entity identifier (“LEI”) registration document <input type="checkbox"/> (2) Certificate of incorporation <input type="checkbox"/> (3) Business registration certificate <input type="checkbox"/> (4) Other equivalent identity document

* In the case of a trust, the trustee’s CID should be provided. However, in the case of a trust which is an investment fund (i.e. collective investment schemes), CID of the asset management company or the individual fund, as appropriate, which has opened a trading account with KGIA should be provided.

Client Confirmation

We represent and confirm that we have provided to KGIA identity document(s) and customer identification data which conform to the order of priority of identity documents required by the Securities and Futures Commission and are correct, valid and up-to-date, unless we notify KGIA otherwise in writing. We undertake to update KGIA of any changes of the information promptly.

 Client’s authorized signature(s) (with company chop, if applicable)
 Name(s) and Title(s) of Authorized Signator(ies):
 Account Number:
 Date:

Instructions for submission of this form:

Please complete and sign the paper form and then upload a copy of it together with cop(ies) of the up-to-date identity document(s) (if necessary) to KGIA’s website at <https://acc.kgi.com.hk/hkidr/en>.

(In case of any discrepancy between the English and the Chinese versions, the English version shall prevail.)

凱基證券亞洲有限公司
香港投資者識別碼制度及場外證券交易匯報制度表格 - 公司帳戶

在香港投資者識別碼制度(HKIDR)及場外證券交易匯報制度(OTCR)下，凱基證券亞洲有限公司（“凱基亞洲”）必須按監管要求，收集最新的客戶身分證明文件及識別信息。

客戶識別信息

證券及期貨事務監察委員會要求的可接納身分證明文件的優先排序如下：

若 貴公司或其受託人（視情況而定）持有下列身分證明文件，請按下列的身分證明文件優先排序在方格打上☑號，並向凱基亞洲提供最新的身分證明文件副本(如有需要)。

公司客戶	信託客戶的受託人*
<input type="checkbox"/> (1) 法律實體識別編碼(LEI)登記文件 <input type="checkbox"/> (2) 公司註冊證明書 <input type="checkbox"/> (3) 商業登記證 <input type="checkbox"/> (4) 其他同等文件	<input type="checkbox"/> (1) 香港身份證 <input type="checkbox"/> (2) 國民身分證明文件 <input type="checkbox"/> (3) 護照 或 <input type="checkbox"/> (1) 法律實體識別編碼(LEI)登記文件 <input type="checkbox"/> (2) 公司註冊證明書 <input type="checkbox"/> (3) 商業登記證 <input type="checkbox"/> (4) 其他同等文件

* 對信託的客戶而言，客戶應提供受託人的客戶識別信息。然而，若信託是一個投資基金（即集體投資計劃），則應提供在凱基亞洲開立交易帳戶的資產管理公司或個別基金（視何者適用而定）的客戶識別信息。

客戶確認

本公司聲明並確認，本公司已向凱基亞洲提供符合證券及期貨事務監察委員會要求的身分證明文件優先排序，並且是正確、有效和最新的身分證明文件和客戶識別信息，本公司另行書面通知凱基亞洲除外。本公司承諾將會及時通知凱基亞洲任何資料的變更。

客戶授權簽署 (加蓋公司印章, 如適用)

獲授權簽署人姓名及職銜:

帳戶號碼:

日期:

遞交表格指示：

請填寫及簽署實體表格後，將表格連同最新的身分證明文件副本(如有需要)，透過此連結 <https://acc.kgi.com.hk/hkidr/chi> 上傳到凱基亞洲網頁。

(如中、英文版本有任何歧義，概以英文版本為準。)