



Client Identification Data on the Hong Kong Investor Identification Regime (HKIDR), the Over-the-counter Securities Transaction Reporting Regime (OTCR) and FINI (Fast Interface for New Issuance) Platform

Client Identification Data		
According to the Hong Kong Investor Identification Regime, the OTC Securities Transaction Reporting Regime and FINI platform, 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. Please confirm if your company is holder of the identity document below.		
Legal Entity Identifier (LEI)	☐ Yes	Number:
	☐ No	
Certificate of Incorporation	☐ Yes	Number:
	☐ No	
Business Registration	☐ Yes	Number:
	☐ No	
Other equivalent document (please specify)	☐ Yes	Number:
	☐ No	

* Please enclose a copy of the registration document.

Acknowledgement and Confirmation

By signing below, your company acknowledges, undertakes and agrees with the following:

- (a) Your company understand and have full knowledge of the waterfall of the acceptable client identity documents under the HKIDR, OTCR and FINI Platform.
- (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.

Signed by :

Name of client :

Account No.:

Date:



香港投資者識別碼制度, 場外證券交易匯報制度及 FINI (Fast Interface for New Issuance) 平台的客戶識別信息

客戶識別信息		
根據香港投資者識別碼制度,場外證券交易匯報制度及FINI 平台, 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。 請 貴司確認是否持有以下客戶識別信息。		
法律實體識別編碼 (LEI)	☐ Yes 是	號碼:
	☐ No 否	
公司註冊號碼	☐ Yes 是	號碼:
	☐ No 否	
商業登記號碼	☐ Yes 是	號碼:
	☐ No 否	
其他同等文件(請注明) _____	☐ Yes 是	號碼:
	☐ No 否	

*請附上相關文件副本。

知悉及確認

貴司在以下簽署, 即代表 貴司確認、承諾並同意以下事項:

- (a) 貴司理解並充分掌握在香港投資者識別碼制度, 場外證券交易及FINI 平台彙報制度可接受的身分證明文件排序表。
- (b) 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。

簽署:

客戶名稱:

帳戶號碼:

日期:
