



国信证券(香港)经纪有限公司经营的是证券及就证券提供意见和期货交易及就期货交易提供意见的业务, 并根据证券及期货条例获发牌经营第 1 类(证券交易)、第 2 类(期货交易)、第 4 类(就证券提供意见)及第 5 类(就期货提供意见)受规管活动(中央编号: AUI491)。

致: 国信证券(香港)经纪有限公司

To: Guosen Securities (HK) Brokerage Company, Limited

## 客户资料更新表格(公司) Client Information Update Form (Corporate)

客户名称 Client Name: \_\_\_\_\_ 账户号码 Account No.: \_\_\_\_\_

|                                                                                                                                                                                    |                                                                                                                                                                                   |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 请于适当的空格内加上“✓”号并附上证明文件(如适用)(请勾选并附上适当的证明文件)(Please “✓” and attach supporting documents (if applicable)) (仅填写需修改的信息, 不需要改的信息无需填写 Please fill in only the fields that require updates) |                                                                                                                                                                                   |
| <b>更改公司资料 Change of Company information*</b>                                                                                                                                       |                                                                                                                                                                                   |
| <input type="checkbox"/> 更改公司名称(英文)<br>Change of Company Name (English):                                                                                                           |                                                                                                                                                                                   |
| <input type="checkbox"/> 更改公司名称(中文)<br>Change of Company Name (Chinese):                                                                                                           |                                                                                                                                                                                   |
| <b>更改公司地址 Change of Company Address*</b>                                                                                                                                           |                                                                                                                                                                                   |
| <input type="checkbox"/> 注册地址 Registered Address:                                                                                                                                  |                                                                                                                                                                                   |
| <input type="checkbox"/> 营业地址 Business Address:                                                                                                                                    | <input type="checkbox"/> 与注册地址相同 Same as Registered Address<br><input type="checkbox"/> 其他, 请提供 Others, please provide:                                                           |
| <input type="checkbox"/> 通讯地址 Mailing Address:                                                                                                                                     | <input type="checkbox"/> 与注册地址相同 Same as Registered Address <input type="checkbox"/> 与营业地址相同 Same as Business Address<br><input type="checkbox"/> 其他, 请提供 Others, please provide: |
| <b>更改公司联络资料 Change of Contact Information</b>                                                                                                                                      |                                                                                                                                                                                   |
| <input type="checkbox"/> (国家区号)办公室电话号码<br>(Country Code) Tel. No. (Office): ( )                                                                                                    | <input type="checkbox"/> 取代及更改 Override & Change<br><input type="checkbox"/> 新增 Add                                                                                               |
| <input type="checkbox"/> (国家区号)用于双重验证的手机号码<br>(Country Code) Mobile No. for 2FA: ( )                                                                                               | <input type="checkbox"/> 取代及更改 Override & Change<br><input type="checkbox"/> 新增 Add                                                                                               |
| <input type="checkbox"/> E-mail Address for Trading password 电子邮箱(交易密码):                                                                                                           | <input type="checkbox"/> 取代及更改 Override & Change<br><input type="checkbox"/> 新增 Add                                                                                               |
| <input type="checkbox"/> E-mail Address for Statement, trade confirmation, contact notes, or others as appropriate<br>电子邮箱(结单、成交单据、交易确认书或等类通讯):                                    | <input type="checkbox"/> 取代及更改 Override & Change<br><input type="checkbox"/> 新增 Add                                                                                               |
| <input type="checkbox"/> 联络人姓名 Name of Contact person:                                                                                                                             | <input type="checkbox"/> 取代及更改 Override & Change<br><input type="checkbox"/> 新增 Add                                                                                               |
| <input type="checkbox"/> (国家区号) 联络人电话号码 (Country Code) Contact person Tel No.: ( )                                                                                                 | <input type="checkbox"/> 取代及更改 Override & Change<br><input type="checkbox"/> 新增 Add                                                                                               |
| <b>更改印章式样 Change of Company Stamp Specimen</b>                                                                                                                                     |                                                                                                                                                                                   |
| 原有公司印章式样(如适用)Old Company Stamp Specimen (If applicable)                                                                                                                            | 新公司印章式样 New Company Stamp Specimen                                                                                                                                                |



國信證券(香港)經紀有限公司  
GUOSEN SECURITIES (HK) BROKERAGE COMPANY, LIMITED

|                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                     |                                                                                       |
|----------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|
| <input type="checkbox"/> 最新财政资料及投资目的 Latest Financial Information and Objectives                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                     |                                                                                       |
| 年度营业额 (港元)<br>Annual Turnover (HKD)                                                                                  | <input type="checkbox"/> ≤500,000<br><input type="checkbox"/> 10,000,001-20,000,000                                                                                                                                                                                                                                                                                                                                                      | <input type="checkbox"/> 500,001-2,000,000<br><input type="checkbox"/> 20,000,001-30,000,000                                                                                                                                        | <input type="checkbox"/> 2,000,001-10,000,000<br><input type="checkbox"/> >30,000,000 |
| 年度净利润(港元)<br>Net Profit (HKD)                                                                                        | <input type="checkbox"/> ≤500,000<br><input type="checkbox"/> 10,000,001-20,000,000                                                                                                                                                                                                                                                                                                                                                      | <input type="checkbox"/> 500,001-2,000,000<br><input type="checkbox"/> 20,000,001-30,000,000                                                                                                                                        | <input type="checkbox"/> 2,000,001-10,000,000<br><input type="checkbox"/> >30,000,000 |
| 总资产(港元)<br>Total Asset (HKD)                                                                                         | <input type="checkbox"/> ≤500,000<br><input type="checkbox"/> 10,000,001-20,000,000                                                                                                                                                                                                                                                                                                                                                      | <input type="checkbox"/> 500,001-2,000,000<br><input type="checkbox"/> 20,000,001-30,000,000                                                                                                                                        | <input type="checkbox"/> 2,000,001-10,000,000<br><input type="checkbox"/> >30,000,000 |
| 流动资产(港元)<br>Current Assets (HKD)                                                                                     | <input type="checkbox"/> ≤500,000<br><input type="checkbox"/> 10,000,001-20,000,000                                                                                                                                                                                                                                                                                                                                                      | <input type="checkbox"/> 500,001-2,000,000<br><input type="checkbox"/> 20,000,001-30,000,000                                                                                                                                        | <input type="checkbox"/> 2,000,001-10,000,000<br><input type="checkbox"/> >30,000,000 |
| 预期初始投资资金(港元) Estimated<br>Initial Investment fund (HKD)                                                              | <input type="checkbox"/> ≤500,000<br><input type="checkbox"/> 10,000,001-20,000,000                                                                                                                                                                                                                                                                                                                                                      | <input type="checkbox"/> 500,001-2,000,000<br><input type="checkbox"/> 20,000,001-30,000,000                                                                                                                                        | <input type="checkbox"/> 2,000,001-10,000,000<br><input type="checkbox"/> >30,000,000 |
| 最初资金来源<br>Initial Source of Fund                                                                                     | <input type="checkbox"/> 股东资金 Shareholder Funds<br><input type="checkbox"/> 股息/利息 Dividend/ Interest<br><input type="checkbox"/> 租金收入 Rental Income<br><input type="checkbox"/> 贷款 Loan<br><input type="checkbox"/> 业务利润 Business Profit<br><input type="checkbox"/> 投资回报 Return on Investment<br><input type="checkbox"/> 出售物业/资产 Sale of Property/Asset Rental Income<br><input type="checkbox"/> 其它(请说明)Others (Please specify) _____ |                                                                                                                                                                                                                                     |                                                                                       |
| 持续资金来源<br>Ongoing Source of Fund                                                                                     | <input type="checkbox"/> 股东资金 Shareholder Funds<br><input type="checkbox"/> 股息/利息 Dividend/ Interest<br><input type="checkbox"/> 租金收入 Rental Income<br><input type="checkbox"/> 贷款 Loan<br><input type="checkbox"/> 业务利润 Business Profit<br><input type="checkbox"/> 投资回报 Return on Investment<br><input type="checkbox"/> 出售物业/资产 Sale of Property/Asset Rental Income<br><input type="checkbox"/> 其它(请说明)Others (Please specify) _____ |                                                                                                                                                                                                                                     |                                                                                       |
| 投资目的 Objectives                                                                                                      | <input type="checkbox"/> 资本增值 Capital appreciation <input type="checkbox"/> 股息回报 Dividend yield <input type="checkbox"/> 投机 Speculation<br><input type="checkbox"/> 其它(请说明)Others (Please specify) _____                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                     |                                                                                       |
| <b>更改董事/股东/最终受益人/交易人员/授权签署人员 Change of Director(s)/Shareholders/UBO/Authorized Trader(s)/Authorized Signer(s) *1</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                     |                                                                                       |
| <input type="checkbox"/> 更改董事<br>Change of Director(s):                                                              | <input type="checkbox"/> 新增 Add: _____<br><input type="checkbox"/> 删除 Delete: _____                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                     |                                                                                       |
| <input type="checkbox"/> 更改股东/最终受益人<br>Change of<br>Shareholder(s)/UBO:                                              | <input type="checkbox"/> 新增 Add: _____<br><input type="checkbox"/> 删除 Delete: _____                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                     |                                                                                       |
| <input type="checkbox"/> 更改交易人员<br>Change of Authorized<br>Trader(s):                                                | <input type="checkbox"/> 新增 Add: _____<br><input type="checkbox"/> 删除 Delete: _____                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                     |                                                                                       |
| <input type="checkbox"/> 更改授权签署人员<br>Change of Authorized<br>Signer(s):                                              | <input type="checkbox"/> 新增 Add: _____<br><input type="checkbox"/> 删除 Delete: _____                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                     |                                                                                       |
| <b><input type="checkbox"/> 更改银行账户资料 Change of Designated Bank Account *1</b>                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                     |                                                                                       |
| 银行信息<br>Bank Information:                                                                                            | 银行名称 Name of Bank                                                                                                                                                                                                                                                                                                                                                                                                                        | 账户名称 Account Name:                                                                                                                                                                                                                  |                                                                                       |
|                                                                                                                      | 账户号码 Account No.:                                                                                                                                                                                                                                                                                                                                                                                                                        | 账户类型 Account Type:<br><input type="checkbox"/> 香港本地银行 Local Bank in Hong Kong<br><input type="checkbox"/> NRA 账户 NRA Account<br><input type="checkbox"/> 其他司法管辖区银行 (请注明: ) Banks In Other Jurisdictions<br>(Please Specify: ) _____ |                                                                                       |
| <b><input type="checkbox"/> 其它信息(请注明)<br/>Other(Please specify):</b>                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                     |                                                                                       |

**注意:** 如需更改关键信息\*1, 则请将此表格原件及相关证明文件(证明文件需重新见证方能生效)交至我司办公地址。

**Note:** If any requires amendment\*1 the original form and relevant supporting documents (which must be re-certified to be valid) must be submitted to our company's office address.

本人/吾等特此声明, 本表格所提供的资料信息及随附文件均准确、真实、完整、最新, 并已充分反映本人/吾等的现状。本人/吾等将遵守并配合贵公司履行所有适用的法律和监管要求, 包括但不限于提供额外资料及/或文件。I/We hereby declare that all the information provided in this form and the accompanying documents are accurate, genuine, complete, and up-to-date, and have fully reflected my/our current situation. I/We shall comply with and cooperate with the Company in fulfilling all applicable legal and regulatory requirements, including but not limited to providing additional information and/or documents.

客户签署 (公司盖章 (如适用))

Client's Signature (With Company Chop) \_\_\_\_\_ 日期 Date \_\_\_\_\_

|                             |    |       |       |         |          |
|-----------------------------|----|-------|-------|---------|----------|
| FOR OFFICE USE ONLY (内部专用): | AE | S. V. | Maker | Checker | Approver |
|-----------------------------|----|-------|-------|---------|----------|