

客戶須知

根據相關規定，本公司需確保閣下已提供更新的客戶識別信息。有關客戶識別信息如下：-

◆ 就個人客戶而言：

- 身份證明文件上所示的全名；
- 身份證明文件的簽發國家或司法管轄區；
- 身份證明文件類別（按以下優先次序排第：(1)香港身份證；(2)國民身份證明文件；(3)護照）；及
- 身份證明文件的身份證明文件號碼

◆ 就公司客戶而言：

- 身份證明文件上所示的全稱；
- 身份證明文件的簽發國家或司法管轄區；
- 身份證明文件類別（按以下優先次序排第：(1)法律實體識別編碼（LEI）登記文件；(2)公司註冊證明書；(3)商業登記證；(4)其他同等文件）；及
- 身份證明文件的身份證明文件號碼

◆ 就屬信託的客戶而言：

- 受託人的客戶識別信息(應與上述公司或個人客戶的客戶識別信息相同)；然而，若信託是一個投資基金(即集體投資計劃)，則應收集在相關受規管中介人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

◆ 就聯名帳戶的客戶而言：

- 應提供屬同一證券商客戶編碼的聯名帳戶內所有客戶的客戶識別信息(與上述建議規定一致，視乎客戶的性質而定)

Client Information Notes

According to relevant regulations, we have to ensure that you have provided us with updated customer identification information (“CID”). The relevant CID to be collected are set out as follows:-

- ◆ **For an individual client, his or her:**
 - Full name as shown on his or her identity document;
 - Identity document’s issuing country or jurisdiction;
 - Identity document type (order of priority: (1) HKID card; (2) national identification document; (3) passport); and
 - Identity document number on the identity document
- ◆ **For a corporate client, its:**
 - Full name as shown on its identity document;
 - Identity document’s issuing country or jurisdiction;
 - Identity document type (order of priority: (1) LEI registration document; (2) certificate of incorporation; (3) business registration certificate; (4) other equivalent documents); and
 - Identity document number on its identity document.
- ◆ **For a client that is a trust:**
 - The CID of the trustee, which should be the same as that of a corporate or individual client as set out above;

However, in the case of a trust which is an investment fund (i.e. collective investment schemes), the CID of the asset management company or the individual fund, as appropriate, which has opened a trading account with the Relevant Regulated Intermediary.
- ◆ **For clients of a joint account:**
 - The CID for all clients (in line with the above proposed requirements, depending on the nature of the client) named for a joint account should be provided under the same BCAN assigned to that account.