

**CLC SECURITIES LIMITED**  
創僑證券有限公司

**REVIEW ON CLIENT'S PROFILE (CORPORATION)**

客戶資料覆核 (公司客戶)

Name of the Client : \_\_\_\_\_  
客戶姓名  
Account Number : \_\_\_\_\_  
戶口號碼

**Section A : Client Information 甲部：客戶資料**

1. Registered Address / Principal Business Address 註冊地址/辦事處地址：

\_\_\_\_\_  
(Please provide address proof within the last 3 months. 請提供最近三個月的地址證明。)

2. Nature of business 業務性質：

\_\_\_\_\_

3. Contact telephone number 聯絡電話：

\_\_\_\_\_

4. Email Address 電郵地址：

\_\_\_\_\_

**Section B: Financial Profile 乙部：財務概況 (Please choose the appropriate answer 請選擇適當答案)**

1. Identification of sources of funds 確定的資金來源

- Shareholder Fund 股東資金     Commission 佣金     Rental Income 租金收入  
 Investment Income 投資收入     Business Profit 營業利潤     Dividend / Interest 股息/ 利息  
 Others 其他:

\_\_\_\_\_

2. Identification of sources of wealth 確定的財富來源

- Owner / Shareholder Equity or Loan to Company 擁有人/股東對公司的權益或貸款  
 Property 物業     Market Trading Profits 市場交易利潤  
 Business Revenue 營業收入     Retained Earnings 留存收益     Dividend / Interest 股息/ 利息  
 Others 其他 (Please specify 請註明)

\_\_\_\_\_

3. Origin of funding source 資金來源地

- Hong Kong 香港                       Mainland China 中國內地                       Macau 澳門  
 Singapore 新加坡                       United States 美國                       Canada 加拿大  
 Others 其他: \_\_\_\_\_

4. Net Asset Value 資產淨值

- Less than HKD 200,000                       Between HKD 200,001 to HKD 1,000,000  
少於港幣 200,000                      由港幣 200,001 至港幣 1,000,000  
 Between HKD 1,000,001 to HKD 8,000,000                       More than HKD 8,000,001  
由港幣 1,000,001 至港幣 8,000,000                      多於港幣 8,000,001

5. Annual Net Profit 每年純利?

- Less than HKD 250,000                       Between HKD 250,001 to HKD 500,000  
少於港幣 250,000                      由港幣 250,001 至港幣 500,000  
 Between HKD 500,001 to HKD 1,000,000                       More than HKD 1,000,001  
由港幣 500,001 至港幣 1,000,000                      多於港幣 1,000,001

6. Daily volume of transactions (in HKD) in the past year 過去一年每日之交投量(以港幣計算)

- Less than HKD 50,000                       Between HKD 50,001 to HKD 250,000  
少於港幣 50,000                      由港幣 50,001 至港幣 250,000  
 Between HKD 250,001 to HKD 500,000                       More than HKD 500,001  
由港幣 250,001 至港幣 500,000                      多於港幣 500,001

7. Frequency of monthly transactions in the past year 過去一年每月交投次數

- Less than one month                       1-10 times per month  
少於 1 個月 1 次                      1 個月 1-10 次  
 11- 20 times per month                       More than 21 times per month  
1 個月 11 - 20 次                      1 個月多於 21 次

8. Investment Objective 投資目標

- Short term                       Medium term  
短線                      中線  
 Long term                       Others  
長線                      其他: \_\_\_\_\_

**Section C: Substantial Shareholders / Directors / Ultimate Beneficial Owners / Authorized Person**

丙部：主要股東 / 董事 / 最終受益人 / 獲授權人士

1. Change in **Substantial Shareholders** of the Corporate Account (i.e. shareholder hold 25% or more of the issued share capital of the corporate) 公司帳戶的**主要股東**變更 (主要股東為擁有 25%或以上股權的股東)

No 否

Yes, please provide details of the changes. 是，請提供變更的細節。

(Please provide certified true copy of ID/Passport copy of the new Substantial Shareholders and updated Register of Members. 請提供新主要股東之核證身份證/護照證明及更新後的股東名冊。)

2. Change in **Directors** of the Corporate Account 公司帳戶的**董事**變更

No 否

Yes, please provide details of the changes. 是，請提供變更的細節。

(Please provide certified true copy of ID/Passport copy of the new Directors and updated Register of Directors. 請提供董事之核證身份證/護照證明及更新後的董事名冊。)

3. Change in **Ultimate Beneficial Owner** of the Corporate Account (if applicable)

公司帳戶的**最終受益人**變更

No 否

Yes, please provide details of the changes. 是，請提供變更的細節。

(Please provide certified true copy of ID/Passport copy of the new Ultimate Beneficial Owner. 請提供新最終受益人之核證身份證/護照證明。)

4. Change in **Authorized Person** to give oral instruction in dealing of securities or futures products and/or change in authorized signatories arrangement in the operation of the Corporate Account 獲授權就公司帳戶發出口頭買賣指示及/或就公司帳戶運作的簽名安排變更

No 否

Yes, please provide details of the changes. 是，請提供變更的細節。

(Please provide the certified true copy of Board Resolution approving the change in Authorized Person. 請提供核證的董事局會議紀錄。)

**Section D: Others 丁部：其他**

1. Has your company been involved in any money laundering or terrorist financing proceedings? 貴公司是否曾牽涉於洗錢/恐怖分子資金籌集的訴訟?

No 否

Yes, please provide details. 是，請提供細節。

2. Is any of your group companies a client of CLC Group? 貴公司之集團公司是否持有創僑集團任何其他帳戶?

No 否

Yes, please provide account name and account number. 是，請提供帳戶名稱及帳戶號碼。

Account Name 帳戶名稱: \_\_\_\_\_;

Account No 帳戶號碼: \_\_\_\_\_;

3. Is any of the ultimate beneficial owners, directors or authorized persons of your company a Politically Exposed Person (PEP) or PEP associate? 貴公司之任何一名最終受益人、董事或授權人士是否政治人物或其關連人士?

No 否

Yes, please provide details. 是，請提供細節。

4. Please provide the following documents to ensure the Customer Due Diligence information retained remains up-to-date and relevant. 請提供以下的文件以確保備存紀錄反映現況及相關的盡職審查資料:

- For a locally incorporated company: latest Annual Return of Company Registry 本地註冊的公司：最新公司註冊處的週年報表

- For a company incorporated overseas: certified true copy of a certificate of incumbency certified by a professional third party which have been issued within the last 6 months; or certified true copy of latest Shareholder Register and Director Register 海外註冊的公司：由專業第三者認證的職權證明書核證副本，該證明書應在過去6個月內簽發；或最近之董事名冊及股東名冊的核證副本

**Section E: Client Acknowledgment 戊部：客戶確認**

Any information provided in connection with this “Review on client’s profile (Corporation)” are true, accurate, complete and up-to-date for the compliance with applicable legal and regulatory requirements. If there is any changes to any information that I/we previously provided to CLC Securities Limited, I/we will notify CLC Securities Limited immediately in writing.

為遵從適用法律及規管性之規定，任何關於此“客戶資料覆核（公司客戶）”所提供的資料必屬真實、準確、完整及最新。如以往所提供的資料有任何更改，本公司會立刻以書面通知創僑證券有限公司。

Agreed and Confirmed 同意及確認

\_\_\_\_\_  
Authorized person(s) with company chop 獲授權人簽署，並加蓋公司印章

Date 日期：