

CHANGE OF CLIENT DATA FORM

To: Shenwan Hongyuan Securities (H.K.) Limited / Shenwan Hongyuan Futures (H.K.) Limited

Individual client (not applicable to joint or corporate client) can submit certain information amendment by login 'eService' account at <https://es.swwhyhk.com/>.

Name of Client _____

Account No. _____ Effective Date _____

Please update the following change(s) to the records of all the account(s) maintained with Shenwan Hongyuan Securities (H.K.) Limited and Shenwan Hongyuan Futures (H.K.) Limited and / or other member company of the Shenwan Hongyuan Group ("Shenwan Hongyuan Group" means Shenwan Hongyuan (H.K.) Limited and its subsidiaries) (collectively, the "Company") under the Name of Client above. I/We confirm that such change(s) shall also apply to all documents I/we previously executed without any effect on the legality of such documents. I/We declare that all information provided in this CHANGE OF CLIENT DATA FORM ("Form") and all supporting and relevant documents submitted by me/us to your Company in relation to this Form is true, complete, accurate and up-to-date. Your Company is entitled to rely fully on such information for all purposes unless your Company has received actual prior notice in writing of any change from me/us. I/We undertake that I/we shall advise your Company forthwith any changes to the information supplied in this Form.

Please complete only those details to be changed in BLOCK LETTERS and tick where applicable.

If change of information involves (i) change/addition of jurisdiction which is inconsistent with declared tax residence or (ii) location of bank (exclude Hong Kong) is different from client's nationality, address or place of operation, please complete "Additional Information" for reason of inconsistency and/or "Updating Tax Residency Information"/ Form W8 / Form W9 (if applicable).

Contact Information				
Change Address# (Please select the address type. More than one option can be chosen.)	☐ Correspondence Address (Applicable to Individual/Joint/Corporate Account) ☐ Residential Address (Applicable to Individual/Joint Account) ☐ Registered Office Address (Applicable to Corporate Account) ☐ Business Address (Applicable to Corporate Account)			
	Postal Code: _____			
	Note : For clients who change residential address, please also provide address proof issued within 3 months.			
Change Phone Number#	Mobile Tel No.	☐ Add ☐ Change ☐ Delete		
	Home Tel No.	☐ Add ☐ Change ☐ Delete		
	Office Tel No.	☐ Add ☐ Change ☐ Delete		
Change Email Address	Email Address	☐ Add ☐ Change ☐ Delete		
Statement Related	Method of Account Statement Collection		☐ By Email ¹ ☐ By Post	Statement Language ☐ Chinese ☐ English
	¹ Note : I/We acknowledge and agree that should the email statement be returned or undelivered, you will send all statements to me/us by post until the receipt of further instructions. Please note that monthly postal fee will be charged by the end of each month if statements are sent by post.			

Bank Information#				
	Currency	Bank Name	Bank Account No.	Bank Account Name
☐ Add ☐ Change ☐ Delete	☐ HKD ☐ Multi-currency ☐ Other (_____)			
☐ Add ☐ Change ☐ Delete	☐ HKD ☐ Multi-currency ☐ Other (_____)			

Note :The Bank Account Name must be the same as the name of account holder. Please provide supporting document of the registered bank account, e.g. bank statement.

Update of Identity Document Information#				
(Applicable to Individual/Joint Client)			(Applicable to Corporate Client)	
(1)Hong Kong Identity Card No. ³			(1)Legal Entity Identifier (LEI)	
(2)Other Identity Card No. ^{2,3}	Place of Issue		(2)Certificate of Incorporation No. ³	Place of Issue
(3)Passport No. ^{2,3}	Place of Issue		(3)Business Registration Certificate No. ³	Place of Issue

² For change of (2)Other Identity Card, please confirm if you currently hold Hong Kong Identity Card ("HKID"). ☐ No ☐ Yes, HKID No. ³: _____
For change of (3)Passport, please confirm if you currently hold HKID and/or Other Identity Card (please tick all that apply)
☐ No, do not hold HKID ☐ No, do not hold Other Identity Card ☐ Yes, HKID No. ³: _____ ☐ Yes, Other Identity Card No. ³: _____; Place of Issue: _____

³ Note: Please provide the supporting document certified by licensed person of our Company or its affiliate that is a regulated financial institution, Justice of the Peace, Certified Public Accountant, Lawyer, Notary Public or Chartered Secretary.

Update Statement Issue Batch (Applicable for futures client who receives statement by email ONLY)	
Email statement will be issued after market close of Global Futures (normally 10:00am to 12:00noon HKT on the next day) once you are engaged in global futures transactions. If you only trade within the HK Futures market, you can choose to receive email statement at an earlier time by ticking below:	
Update Statement Issue Batch :	☐ Issue statement after close of HK Futures market (normally at 8:00pm HKT on the same business day to 12:00am HKT on the next day)

Additional Information	

Signature(s) of A/C Holder(s) (For Individual or Joint A/C) /
Authorised Signatory(ies) and/or company chop (For Corporate A/C)

Date

For Internal Use Only

Approval (for high ML/TF risk client adding designated bank):

RO approval
Name:
Date:

Head of Compliance approval
Name:
Date:

Documentation Control Team checking:

- Inconsistency is noted from (i) change/addition of jurisdiction and declared tax residence or (ii) from location of bank (other than bank in Hong Kong) and client's nationality, address or place of operation
☐ No ☐ Yes, check if "Additional Information" and/or relevant forms are completed
- Total no. of registered bank is within limit
☐ Yes ☐ No, return to Business Unit to follow up

S.V. _____ Input by _____ Approved by _____

Client please complete and submit this form through one of the following channels:

Fax: (852) 3525 8451 / Email: customer.service@swwhyhk.com /

Mail: Level 6, Three Pacific Place, 1 Queen's Road, Admiralty, Hong Kong (Attn: Customer Service Department)