

CHANGE OF CLIENT DATA FORM (Employment Status / Financial Status/ Investment Experience and Target / Identity Declaration/ Direct Marketing Authorisation) – For Individual / Joint Account

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

Please complete and submit the Form to us by:

- ✧ Fax: (852) 3525 8451 / Email: customer.service@swwhyk.com
- ✧ Mail: Level 19, 28 Hennessy Road, Hong Kong (Attn: Customer Service Department)

Name of Client : _____

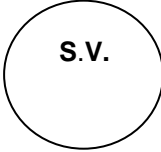
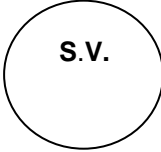
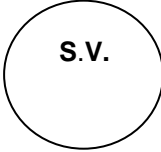
Account No. : _____

Note : Please complete the part(s) to be changed only in BLOCK LETTERS and tick where applicable.

In this form, SWHYS shall mean Shenwan Hongyuan Securities (H.K.) Limited and SWHYF shall mean Shenwan Hongyuan Futures (H.K.) Limited.

Employment Status	
Employment Status	<input type="checkbox"/> Self-employed <input type="checkbox"/> Employed <input type="checkbox"/> Student <input type="checkbox"/> Housewife <input type="checkbox"/> Retired <input type="checkbox"/> Not Currently Employed
Occupation / Position	
Name of Employer / Self-owned Business	
Nature of Business (If the Employment Status is Self-employed / Employed, please <input checked="" type="checkbox"/> where appropriate)	<input type="checkbox"/> Utilities <input type="checkbox"/> Construction/Retail Estate/Engineering <input type="checkbox"/> Finance/Insurance <input type="checkbox"/> Import/Export/Wholesale <input type="checkbox"/> Legal <input type="checkbox"/> Communications <input type="checkbox"/> Business Services <input type="checkbox"/> Science & Technology <input type="checkbox"/> Gambling <input type="checkbox"/> Ammunition and weapons manufacturers <input type="checkbox"/> Union & Organizations <input type="checkbox"/> Leisure & Entertainment <input type="checkbox"/> Transport <input type="checkbox"/> Logistics <input type="checkbox"/> Public Services <input type="checkbox"/> Personal & Household Services <input type="checkbox"/> Health Care <input type="checkbox"/> Manufacturing <input type="checkbox"/> Sports Activities <input type="checkbox"/> Amusement & Recreation Services <input type="checkbox"/> Industrial <input type="checkbox"/> Education <input type="checkbox"/> Travel & Tourism <input type="checkbox"/> Hotel/Boarding Houses <input type="checkbox"/> Retail <input type="checkbox"/> Restaurants <input type="checkbox"/> Charity (non-Govt. Bodies) <input type="checkbox"/> Hairdressing & Beauty <input type="checkbox"/> Government Sector <input type="checkbox"/> Others (please specify): _____
Financial Status	
Personal Annual Income	<input type="checkbox"/> Below HK\$300,000 <input type="checkbox"/> HK\$300,001 - HK\$800,000 <input type="checkbox"/> HK\$800,001 – HK\$1,200,000 <input type="checkbox"/> Above HK\$1,200,000
Personal Net Worth	<input type="checkbox"/> Below HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 - HK\$8,000,000 <input type="checkbox"/> HK\$8,000,001 – HK\$20,000,000 <input type="checkbox"/> Above HK\$20,000,000
Source(s) of Funds (More than one option can be chosen)	<input type="checkbox"/> Salary / Commission <input type="checkbox"/> Savings <input type="checkbox"/> Investment Income <input type="checkbox"/> Sale of Real Estate <input type="checkbox"/> Own Business <input type="checkbox"/> Others (Please specify:) _____
Source(s) of Wealth (More than one option can be chosen)	<input type="checkbox"/> Business Income <input type="checkbox"/> Salary/Pension <input type="checkbox"/> Investment Income <input type="checkbox"/> Inheritance/Gift <input type="checkbox"/> Others (Please specify:) _____
Investment Experience / Objectives	
Investment Experience (More than one option can be chosen)	<input type="checkbox"/> Stock: _____ year(s) <input type="checkbox"/> Warrants: _____ year(s) <input type="checkbox"/> Options: _____ year(s) <input type="checkbox"/> Futures: _____ year(s)
Investment Objectives (More than one option can be chosen)	<input type="checkbox"/> Conservative <input type="checkbox"/> Growth <input type="checkbox"/> Aggressive <input type="checkbox"/> Others: _____
Identity Declaration	
Are you the ultimate beneficiary of the Account? (Note: Ultimate beneficiary of the Account means the person or entity that stands to gain the commercial or economic benefit of a transaction and/or bear its commercial or economic risk.) <input type="checkbox"/> Yes <input type="checkbox"/> No ^{Note 1} , please state the name of ultimate beneficiary: _____ Relationship: _____ Note 1: Ultimate beneficiary is required to provide identity document, address proof and contact phone number.	
Are you the person ultimately responsible for originating the instruction in relation to transactions in the Account? <input type="checkbox"/> Yes <input type="checkbox"/> No ^{Note 2} , please state the name of ultimate responsible person: _____ Relationship: _____ Note 2: The person ultimately responsible for originating the instruction is required to provide identity document, address proof and contact phone number.	
Are you a U.S. citizen or resident? <input type="checkbox"/> No <input type="checkbox"/> Yes U.S. Taxpayer ID No.: _____ If Yes, do you consent for us to report your relevant account balance, gross amounts of relevant interest incomes, dividend incomes and withdrawals, and identification details (e.g. name, address, the U.S. Taxpayer ID No.) to U.S. Internal Revenue Service annually? <input type="checkbox"/> Yes <input type="checkbox"/> No	

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Identity Declaration (Continued)				
<p>Are you and/or your spouse, partner, children or parents or close associates a Politically Exposed Person (“PEP”)? (Note: PEP refers to a person entrusted with a prominent public function including a head of state, head of government, senior politician, senior executive of a state-owned corporation and an important political party official, which is more specifically defined under the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (Cap. 615 of the Laws of Hong Kong).)</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes, please specific the name of PEP: _____ Relationship: _____</p> <p>Title of Public Office: _____ Place of Public Office: _____</p>				
<p>Are you a director or substantial shareholder of any listed company?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes, I am a <input type="checkbox"/> director / <input type="checkbox"/> substantial shareholder. Name of listed company: _____</p> <p>Place of Listing: _____ Shareholding (if applicable): _____</p>				
<p>Are you a licensed/registered person or employee/director of a corporation licensed/registered with the Securities and Futures Commission of Hong Kong (“SFC”)?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes, please specific name of licensed/registered corporation: _____</p>				
<p>Are you an employee or director of SWHYS/SWHYF or its holding company or any of the subsidiaries of the holding company or a relative of any director or employee of SWHYS/SWHYF or its holding company or any of the subsidiaries of the holding company?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes, please specific the name of director/employee: _____ Relationship: _____</p>				
<p>(For Margin Account Only) Does your spouse have a margin account with SWHYS?</p> <p><input type="checkbox"/> N/A <input type="checkbox"/> No <input type="checkbox"/> Yes Name of spouse: _____ ID no.: _____ Account no.: _____</p>				
<p>(For Margin Account Only) Do you or together with your spouse control 35% or more of the voting rights of another corporate margin account client of SWHYS?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes Name of margin account client: _____</p>				
Direct Marketing Authorisation				
<p><input type="checkbox"/> I DO consent for SWHYS , SWHYF and other member company of the Shenwan Hongyuan Group (“Shenwan Hongyuan Group” means Shenwan Hongyuan (H.K.) Limited and its subsidiaries) (collectively, the “Company”) to use my personal data in direct marketing</p> <p><input type="checkbox"/> I DO NOT consent for the Company to use my personal data in direct marketing.</p> <p>The above represents my present choice whether or not to receive direct marketing contact or information. This replaces any choice communicated by me to the SWHYS , SWHYF prior to this Form. My above choice applies to the direct marketing of the classes of products and services as set out in the Shenwan Hongyuan Group’s policy statement relating to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong), provided together with relevant Terms and Conditions. I should also refer to the policy statement on the kinds of personal data which may be used in direct marketing.</p>				
<p>Please update the above change(s) to the records of all the account(s) maintained with 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 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.</p>				
For Office Use Only				
<p>If there is change in Employment Status or Identity Declaration, please request salesperson to complete Anti-Money Laundering and Counter Financing of Terrorism Risk Assessment Questionnaire.</p>				
<p>Client’s Signature(s) _____ Date _____</p>	<table border="1" style="width: 100%;"> <tr> <td style="text-align: center; vertical-align: middle;">  </td> <td style="width: 50%; vertical-align: bottom;"> <p>Input by _____</p> </td> <td style="width: 50%; vertical-align: bottom;"> <p>Approved by _____</p> </td> </tr> </table>		<p>Input by _____</p>	<p>Approved by _____</p>
	<p>Input by _____</p>	<p>Approved by _____</p>		