

**Client Information Statement – Private Individuals**

1. Name of Account  
(English)

\_\_\_\_\_

(Chinese if applicable)

\_\_\_\_\_

2. Type of Account

☐

Cash & Stock Custody

☐

Cash (DVP)

☐

Margin

3. Address:

- Business

\_\_\_\_\_

\_\_\_\_\_

Tel

\_\_\_\_\_

Fax

\_\_\_\_\_

Email

\_\_\_\_\_

- Correspondence

\_\_\_\_\_

\_\_\_\_\_

Tel

\_\_\_\_\_

Fax

\_\_\_\_\_

Email

\_\_\_\_\_

4. Passport/ID Nos

\_\_\_\_\_

5. Occupation

\_\_\_\_\_

6. Employer

\_\_\_\_\_

7. Annual Estimated  
Income

\_\_\_\_\_

8. Approx Net Worth

\_\_\_\_\_

*(Exclusive of main house of residence, automobiles and life insurance)*

9. Bank References

\_\_\_\_\_

*(Including address, type of account and contact number)*

\_\_\_\_\_

10. Broker

References

\_\_\_\_\_

*(Including address, type of account: Cash or Margin, Commodity or Securities)*

\_\_\_\_\_

11. Ultimate beneficial owner of the  
account

*(Please give all name details as applicable or self)*

\_\_\_\_\_

\_\_\_\_\_

12. Confirmations & Statements to

Business ☐

Correspondence ☐

If other, please specify:

\_\_\_\_\_

\_\_\_\_\_

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13. The account may be operated on the instructions of any one authorised signatory / or any two or more authorised signatories (*delete as appropriate*) or such other persons the company believes in good faith to be duly authorised by the client in writing.

Name	Contact telephone number	Signature
_____	_____	_____
_____	_____	_____
_____	_____	_____

14. CLSA Salesperson for Account \_\_\_\_\_ (HK SFC CE No. \_\_\_\_\_)  
(if applicable)

The client represents that the information on the Client Information Statement is true, complete and correct. CLSA is entitled to rely fully on such information and representations for all purposes, unless CLSA receives notice in writing of any changes. CLSA is authorized at any time to contact anyone, including client's bankers, brokers or any credit agency, for purposes of verifying the Client Information Statement. The client also agrees with the Notes contained herein.

\_\_\_\_\_  
Client's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Authorised signature of CLSA (HK SFC CE No. \_\_\_\_\_)  
(if applicable)

\_\_\_\_\_  
Date

**Important**

The following documents/information must be provided to CLSA with this Client Information Statement:

- Photocopy of Id card or passport for all authorised signatories and ultimate beneficial owner(s) of the account
- Bank reference letter indicating a banking relationship of no less than a year
- Proof of client networth in excess of USD2 million if bank reference provided is less than USD2 million, e.g bank or broker statements, share portfolio, property owned
- Proof of address

**Notes:**

1. Settlement for cash clients must be completed before the end of the next trading day. Scrip purchases on a cash basis and not deposited with the company are to be collected by clients either in person or by their authorized representative.
2. Purchases for cash clients can only be made for accounts with sufficient funds.
3. CLSA reserves the right to charge interest on late payments.
4. All scrip deposits will be lodged with the Share Registrar on book closing date unless otherwise instructed by the client. The scrip will be registered in the name of the nominee company. Scrip cannot be sold/transferred when it is in registration.
5. CLSA may impose a handling charge for custody services.
6. CLSA is not responsible for any claim on dividend scrip that has been delivered.
7. All cheques accepted for deposit/settlement are credited subjected to clearing.
8. CLSA retains the right to vary at its sole discretion any of the above requirements.

## Client Information Statement – Private Individuals

### Client Assessment – “Know the Client”

What is the client’s likely future trading activity? _____
<b>Additional Information on New Client:</b>
1. I hereby certify that the client is known to me for ..... Years and is of good and reputable standing.
2. The client has been introduced to me by ..... a client of good standing with the

**Completed by Salesperson**

**Signed & Dated**

\_\_\_\_\_  
\_\_\_\_\_