



法律實體識別編碼補充表格
Legal Entity Identifier (“LEI”) Supplementary Form

致：恒生銀行有限公司（「銀行」或「本行」）
To: Hang Seng Bank Limited (“the Bank”)

請用正楷填寫。填妥表格後交回閣下的客戶經理、本行任何一間商務理財中心或郵寄至下列地址收。
Please complete in BLOCK LETTERS. Please return the completed form to your relationship manager, any of our Business Banking Centres or send the completed form to the address as below.

如有其他疑問，請致電「商伴同恒」服務專線2198 8000。
For further enquiries, please contact our Business Partner Direct on 2198 8000.

恒生銀行有限公司
香港九龍旺角亞皆老街113號
恒生113 十六至十七樓
BOS – WCAS

Hang Seng Bank Limited
BOS - WCAS
16-17/F Hang Seng 113
113 Argyle Street
Mongkok Kowloon, Hong Kong

日期(日/月/年)
Date(DD/MM/YY)

甲部 Part A – 重要事項 Important Information

為了遵守不時生效的香港聯合交易所（「聯交所」）及證券及期貨事務監察委員會（「證監會」）的相關規則和規定，本行將會收集、儲存、處理、使用、披露及轉移你的客戶資料（包括向(1)聯交所及/或(2)證監會及/或(3)香港中央結算有限公司（「香港結算」）披露及轉移香港投資者識別碼制度、場外證券交易匯報制度及Fast Interface for New Issuance（「FINI」）下的身份代號—你的客戶識別信息及券商客戶編碼）。你並需按證監會要求的客戶識別信息優先次序提供及持續更新以提供準確及最新的客戶資料給本行。

For complying with related rules and requirements of Stock Exchange of Hong Kong (“SEHK”) and Securities and Futures Commission (“SFC”) in effect from time to time, the Bank will collect, store, process, use, disclose and transfer your client data (including disclosing and transferring your Client Identification Data (“CID”) and Broker-Client Assigned Number (“BCAN”), which are identifiers under respective regimes, namely Hong Kong Investor Identification Regime (“HKIDR”), Over-the-counter Securities Transactions Reporting Regime (“OTCR”) and Fast Interface for New Issuance (“FINI”), to (1) SEHK and/or (2) SFC and/or (3) Hong Kong Securities Clearing Company Limited (“HKSCC”). You are required to provide and maintain accurate and most up to date client data following the order of priority for identity document type as specified by the SFC with the Bank.

客戶識別信息包括客戶姓名、身份證明文件的簽發司法管轄區、類別及號碼。就公司客戶而言，本行將會按照以下證監會要求的身份證明文件類別優先次序：(1)法律實體識別編碼登記文件；(2)公司註冊證明書；(3)商業登記證；(4)其他同等文件。

The CID to be submitted include client’s name, identity document issuing jurisdiction, identity document type and identity document number. For corporate customers, the Bank will follow the following order of priority for identity document type as specified by the SFC: (1) Legal Entity Identifier (“LEI”) registration document; (2) certificate of incorporation; (3) business registration certificate; (4) other equivalent documents.

法律實體識別編碼指legal entity identifier(簡稱「LEI」)，即金融穩定理事會在全球LEI體系下採納的20位字符代碼，旨在以獨有的方式識別出參與金融交易的特定法律實體。如果你持有法律實體識別編碼，請填寫以下丙部。

LEI refers to the Legal Entity Identifier which is a 20-character alpha-numeric code under the Global LEI System adopted by the Financial Stability Board to uniquely identify distinct legal entities which participate in financial transactions. If you have obtained a LEI, please fill in Part C below.

如欲了解更多有關香港投資者識別碼制度及場外證券交易匯報制度，請瀏覽證監會或香港交易所網頁。有關FINI平台，請瀏覽香港交易所網頁。有關本行就香港投資者識別碼制度及場外證券交易匯報制度的安排，請瀏覽<https://www.hangseng.com/zh-hk/business/scale-your-business/investment-securities-services-investor-id.html>。

To find out more details about HKIDR or OTCR, please visit SFC and HKEX’s website. For more details about FINI, please visit HKEX’s website. For more details about the Bank’s arrangement regarding HKIDR and OTCR, please visit <https://www.hangseng.com/en-hk/business/scale-your-business/investment-securities-services-investor-id.html>.

乙部 Part B – 客戶資料 Customer Information

客戶姓名
Customer Name

公司註冊號碼*
Registration No.

註
Note :

*請填寫於開戶時向本行所提供的公司註冊號碼(即：公司註冊證書、商業登記證或其他登記證明號碼)
Please fill in the registration no. provided to the Bank during account opening (i.e. Certificate of Incorporation, Business Registration Certificate or Other Registration number)

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丙部 Part C – 法律實體識別編碼 Legal Entity Identifier (“LEI”)

法律實體識別編碼

Legal Entity Identifier: _____

下次更新日期

Next Renewal Date: _____

授權簽署人簽署

Signature(s) of Authorised Signatory

X _____

S.V.

授權簽署人姓名

Name of Authorised Signatory(ies)

日期(日/月/年)

Date(DD/MM/YY)

銀行專用 For Bank Use

Notes:

- LEI is a unique 20 character ISO identifier for a legal entity that participates in a financial transaction.
- Please check the LEI information filled in this form against the LEI record in www.gleif.org before input the LEI record into WDS.