



CID Provision of CID

No action is required if there is no change to your CID and your CID are provided according to the Order of Priority since you last updated your CID with us. If there has/have been change(s) to your CID since you last updated your CID with us, or you have not provided your CID according to the Order of Priority, please fill in the following with your most updated information in accordance with your client category.

A. For an individual client:

1.	Your full name as shown on your identity document	
2.	Your identity document's issuing country or jurisdiction	
3.	Your identity document type according to the order of priority (Remarks)	<input type="checkbox"/> 1st priority: HK ID card <input type="checkbox"/> 2nd priority: National identification document <input type="checkbox"/> 3rd priority: Passport
4.	Your identity document number on the identity document	
5.	Are you providing the CID as a trustee? PCSL shall assume you are not a trustee if you have not checked any boxes.	<input type="checkbox"/> Yes <input type="checkbox"/> No

For identity document type, the order of priority is: (1) HKID card; (2) national identification document; (3) passport.

Remarks: If the identification document (as required under the order of priority requirement of the SFC) is not provided during the account opening process or subsequent regular review, please provide us with a certified true copy of the identity document. For instance, for individual client who has HKID card but such document is not provided in the account opening process or subsequent regular review, you are required to provide the above identification data and a certified true copy of HKID to us accordingly.

If there is any update of your identification document after your previous provision of the same to us, please also provide a certified true copy of your most updated identification document together with this form.

B. For a corporate client:

1.	Your full name as shown on your identity document	
2.	Your identity document's issuing country or jurisdiction	
3.	Your identity document type according to the order of priority (Remarks)	<input type="checkbox"/> 1st priority: LEI ¹ registration document <input type="checkbox"/> 2nd priority: certificate of incorporation <input type="checkbox"/> 3rd priority: business registration certificate <input type="checkbox"/> 4th priority: other equivalent documents. Please state: _____
4.	Your identity document number on the identity document	
5.	For a client that is a trust, please indicate your capacity by checking the appropriate box.	<input type="checkbox"/> As trustee <input type="checkbox"/> As asset management company who is the account holder <input type="checkbox"/> As individual fund who is the account holder

For identity document type, the order of priority is (1) LEI registration document; (2) certificate of incorporation; (3) business registration certificate; (4) other equivalent documents).

Remarks: If the identification document (as required under the order of priority requirement of the SFC) is not provided during the account opening process or subsequent regular review, please provide us with a certified true copy of the



identity document. For instance, for corporate client who has LEI registration document but such document is not provided in the account opening process or subsequent regular review, you are required to provide the above identification data and a certified true copy of LEI registration document to us accordingly.

¹ 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 there is any update of your identification document after your previous provision of the same to us, please also provide a certified true copy³ of your most updated identification document together with this form.

C. For a client that is a trust:

1. Please provide the CID of the trustee, which should be the same as that of a corporate or individual client as set out above. Please fill in the table set out in paragraph A or B above, as applicable;
2. However, in the case of a trust which is an investment fund (i.e. collective investment schemes), please provide the CID of the asset management company or the individual fund, as appropriate, which has opened a trading account with PCSL. Please fill in the table set out in paragraph B above.

D. For clients of a joint account:

1. Please provide the CID for all clients named for a joint account. Please fill in the table set out in paragraph A or B above, as applicable.

We/I hereby confirm that the information provided in this CID Provision is true, accurate and most updated, and we/I shall notify PCSL as soon as practicable in case any of the above information has been updated.

Regards,
Phoenix Capital Securities Limited

Client Name:
Account no.:
Signing Date: