

## Client's Information

(Corporate/Sole Proprietor/Partnership Account)

### Corporate Information

|  |   |   |   |  |
|--|---|---|---|--|
| Name of Client (in English):   |   |   |   |  |
| Name of Client (in Chinese, if any):   |   |   |   |  |
| Private Ltd Co<br><input type="checkbox"/>   | Public Ltd Co<br><input type="checkbox"/> | Sole Proprietor<br><input type="checkbox"/> | Partnership<br><input type="checkbox"/> | Others<br><input type="checkbox"/> _____ |
| Place of Incorporation:  |   |   | Date of Incorporation:                  |  |
| Certificate of Incorporation No.:  |   |   | Business Registration No.:              |  |
| Nature of Business:  |   |   |   |  |
| Registered Address:  |   |   |   |  |
| Business Address (if different):   |   |   |   |  |
| Tel No.:   |   |   | Fax No.:                                |  |
| E-mail:  |   |   |   |  |
| Correspondence (choose one only, all communications, including client statements, will be sent to):                          |   |   |   |  |
| <input type="checkbox"/> E-mail address [please complete "Client's Consent (Electronic Communication)" of this form]         |   |   |   |  |
| <input type="checkbox"/> Registered Address <input type="checkbox"/> Business Address <input type="checkbox"/> Others: _____ |   |   |   |  |

### Electronic Stock Trading Services – Internet Services

|   |
|---|
| <p>You request us to provide internet services for your account opened with us. You agree that you shall be bound by the Terms in Connection with Internet Services set out in Appendix 2.</p> <p><input type="checkbox"/> Yes    <input type="checkbox"/> No</p> |
|---|

### Persons authorized to operate the account (the "Authorized Persons")

| Name | HKID/Passport No. | Telephone No. | Specimen Signature |
|------|-------------------|---------------|--------------------|
|      |                   |               |                    |
|      |                   |               |                    |
|      |                   |               |                    |
|      |                   |               |                    |

### Signing Instruction:

|  |
|--|
| <p>The signing instruction for Authorized Person is: (Please specify e.g. signing singly, any two jointly, or wholly etc.)</p> |
|--|

**Directors**

| Name | HKID/Passport No. | Nationality |
|------|-------------------|-------------|
|      |                   |             |
|      |                   |             |
|      |                   |             |
|      |                   |             |

**Shareholders**

| Name | HKID/Passport No. | Nationality | % of Shareholding |
|------|-------------------|-------------|-------------------|
|      |                   |             |                   |
|      |                   |             |                   |
|      |                   |             |                   |
|      |                   |             |                   |

**Financial Position (in HK\$)**

|  |
|--|
| Source of Fund:                        |
| Authorized Share Capital:              |
| Issued Share Capital:                  |
| Turnover:                              |
| Gross Profit/(Loss) for the last year: |
| Net Equity:                            |
| Net Profit/(Loss) for the last year:   |

**Investment Objectives (please tick as appropriate, you may tick more than one item)**

|                                       |  |  |
|---------------------------------------|--|--|
| <input type="checkbox"/> Income       | <input type="checkbox"/> Capital Gain          | <input type="checkbox"/> Short Term Growth       |
| <input type="checkbox"/> Long Options | <input type="checkbox"/> Write Covered Options | <input type="checkbox"/> Write Uncovered Options |
| <input type="checkbox"/> Hedging      | <input type="checkbox"/> Options Speculation   | <input type="checkbox"/> Options Strategic       |

**Investment Experience**

|                                    | Stocks | Warrants | Options | Futures |
|------------------------------------|--------|----------|---------|---------|
| No. of Year(s)                     |        |          |         |         |
| No. of Transaction per Year        |        |          |         |         |
| Typical Transaction Size (in HK\$) |        |          |         |         |

**Derivative Products Experience**

|  |
|--|
| Have you traded 5 or more transactions in any derivative or structure products whether traded on exchange or not, within the past 3 years? |
| <input type="checkbox"/> Yes   |
| <input type="checkbox"/> No  |

**Bank Reference**

|                |  |  |
|----------------|--|--|
| Name of Bank   |  |  |
| Account Number |  |  |
| Address        |  |  |

**CLIENT'S DECLARATION**

I/We confirm the information provided above is true, complete and correct. Our company will notify your company of any material changes to the above information.

|                       |  |
|-----------------------|--|
| Client's Name(s)      |  |
| Client's Signature(s) |  |
| Date                  |  |

Please attach certified copies of the following documents:

- Memorandum and Articles of Association
- Certificate of Incorporation
- Certificate of Business Registration
- Hong Kong Identity Card or Passport of all Authorized Persons; Directors and Shareholders
- The most recent Annual Return