

Account Opening Form – Corporate/Partnership/Trust/Association

Before you complete this Account Opening Form, please read the Brokerage Terms and Conditions for Retail Clients (the “**Terms and Conditions**”). Upon Huatai accepting you as its client, this Account Opening Form, the Account Opening Letter and the Terms and Conditions (together, the “**Documents**”) shall form a written legal agreement that defines Huatai’s relationship with you in respect of the Account(s) and the Service(s). Your signature below evidences your acceptance of the terms in the Documents. In this Account Opening Form, unless the context otherwise requires, each defined term shall bear the meaning given to it in the Terms and Conditions.

Please complete this Account Opening Form in capital letters and black / blue ink.

1. Client Details

Name of Company/Partnership/Trust/Association:

Chinese Name:

Account Name (if different from above):

Nature of Entity (i.e. Corporate/Partnership/Trust/Association):

Existing Client: Yes No Account No. or Customer No.:

Registered Office Address (if applicable):

Business Address (if applicable):

Mailing Address (if different from above):

Telephone No.: (.....)..... Facsimile No.: (.....).....

Email:(Please note that unless otherwise instructed by you, Huatai will send you combined statements, monthly statements and contract notes by e-statements only through the stated e-mail address)

Company Registration No./Certificate of Incorporation No./Identification No. (if applicable):

Business Registration No. (if applicable):

Principal Place of Business:

Country of Incorporation (if applicable):

Date of incorporation/establishment:

Details of Share Capital (if applicable):

Type of Partnership (if applicable): General Limited

Type of Trust (if applicable):

Governing law of Trust (if applicable):

Nature of Business:

Regulated Status (if applicable):

Regulated Entity No. (if applicable):

Name and Country of Regulatory Authority (if applicable):

Listed Company: Yes No Stock Exchange (if applicable):

Are any shares held in the Client held in bearer form? Yes No, if yes, please provide details:

Sources and origin of funds to be used in connection with the Services

Other Address (e.g. Office):.....
 Telephone No.: (.....).....
 Email:
 Facsimile No.:(.....).....
 Relationship with Client:
 Politically Exposed Person: Yes No
 Specimen Signature:

Instruction Type (please choose one or more):

- Dealing/Trading Instructions
- Operational/Settlement Instructions
- Other, please specify:

(ii) Non-natural persons (e.g. companies/trusts, etc.)

Name of Company/Partnership/Trust/Association:
 Registered Office Address (if applicable):
 Business Address in Hong Kong (if applicable):
 Company Registration No./Certificate of Incorporation No./Identification No. (if applicable):
 Country of Incorporation (if applicable):
 Date of incorporation/establishment:
 Type of Partnership (if applicable): General Limited
 Type of Trust (if applicable):
 Governing law of Trust (if applicable):
 Regulated Status (if applicable):
 Regulated Entity No. (if applicable):
 Name and Country of Regulatory Authority (if applicable):
 Telephone No.: (.....).....
 Email:
 Facsimile No.:(.....).....
 Relationship with Client:

Instruction Type (please choose one or more):

- Dealing/Trading Instructions
- Operational/Settlement Instructions
- Other, please specify:

5. Information on Company, Partnership or Association

Please fill in the following details for each: (i) director; (ii) partner; and/or (iii) individual who exercises control over the management of the partnership/association. Please attach additional details to this form, to the extent necessary.

Given Name: **Surname:**.....
Chinese Name: (Surname).....(Given Name).....
Gender: Male Female

Date of Birth (dd/mm/yyyy):...../...../..... Nationality:

Place of Birth:.....Country of Residence:.....

Identity Document Type:.....Identity Document No.:.....

Identity Document Expiration Date:.....

Current Residential Address:

Postcode (if applicable):City:Country:

Permanent Address (if different from above):

.....

Other Address (e.g. Office):.....

Telephone No.: (.....).....

Email:

Facsimile No.:(.....).....

Relationship with Client:

Politically Exposed Person: Yes No

6. Information on Trust

Please fill in the following details for each: (i) trustee; (ii) settlor; (iii) protector; (iv) enforcer; and/or (iv) beneficiary. Please attach additional details to this form, to the extent necessary.

(a) For individuals

Given Name:Surname:.....

Chinese Name: (Surname).....(Given Name).....

Gender: Male Female

Date of Birth (dd/mm/yyyy):...../...../..... Nationality:

Place of Birth:.....Country of Residence:.....

Identity Document Type:.....Identity Document No.:.....

Identity Document Expiration Date:.....

Current Residential Address:

Postcode (if applicable):City:Country:

Permanent Address (if different from above):

.....

Other Address (e.g. Office):.....

Telephone No.: (.....).....

Email:

Facsimile No.:(.....).....

Relationship with Client:

Politically Exposed Person: Yes No

(b) For non-natural persons (e.g. companies/trusts, etc.)

Name of Company/Partnership/Trust/Association:

Registered Office Address (if applicable):

Business Address in Hong Kong (if applicable):

Company Registration No./Certificate of Incorporation No./Identification No. (if applicable):

Country of Incorporation (if applicable):

Date of incorporation/establishment:

Type of Partnership (if applicable): General Limited

Type of Trust (if applicable):

Governing law of Trust (if applicable):

Regulated Status (if applicable):

Regulated Entity No. (if applicable):

Name and Country of Regulatory Authority (if applicable):

Telephone No.: (.....).....

Email:

Facsimile No.:(.....).....

Relationship with Client:

7. Beneficial Owners¹ (if applicable)²

Please fill in the following details for each Beneficial Owner.

Where the owner is another legal person or trust, details of the individuals behind that legal person should be provided. Please attach additional details to this form, to the extent necessary.

Given Name: Surname:.....

Chinese Name: (Surname).....(Given Name).....

Gender: Male Female

Date of Birth (dd/mm/yyyy):...../...../..... Nationality:

Place of Birth:.....Country of Residence:.....

Identity Document Type:.....Identity Document No.:.....

Identity Document Expiration Date:.....

Current Residential Address:

Postcode (if applicable):City:Country:

Permanent Address (if different from above):

.....

Other Address (e.g. Office):.....

Relationship with Client:

Politically Exposed Person: Yes No

8. Client Bank Account Details

Unless otherwise instructed by the Client, all monies payable to the Client are to be credited to the following bank account(s):

Bank Name	A/C Number
<input type="checkbox"/> HKD _____	_____
<input type="checkbox"/> USD _____	_____
<input type="checkbox"/> Other Currency _____	_____

¹ Where applicable, Huatai should identify and record and take reasonable measures to verify the identity of: (a) individuals owning or controlling 10% or more of the voting rights, shares, etc. of the corporation, partnership, trust, etc.; and (b) any individual who exercises ultimate control over the management of the corporation, partnership, trust, etc.
(N.B. the settlor, the protector and/or enforcer of the trust are also beneficial owners of the trust however, their details are provided in section 7 above.)

² Identification of the beneficial owner of the Client is not required where Huatai is establishing a business relationship with a Client to whom simplified due diligence may be applied (as specified in section 4 of Schedule 2 to the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance (Cap. 615)).

Bank Account Holder's Name (the name(s) show on bank statements and this form should match):

If the Bank Account is outside Hong Kong, please state the address, location and SWIFT code (if applicable) of the Bank:

9. Other

(a) Is the Client acting as an agent for any one or more third parties?

- No
- Yes. If Yes, please provide details (attach additional information where necessary): _____

(b) Does the Client, any director or partner of the Client, any Beneficial Owner and/or any Authorised Person have any relationship with any director(s) or employee(s) of Huatai or any of its Associates (including, without limitation, Huatai Securities Company Limited and Huatai Financial Holdings (Hong Kong) Company Limited)?

- No
- Yes. If Yes, please provide details:

Name of Huatai Group Entity and Branch	Name of Employee/Director/AE	Title/Department	Relationship

(c) Does the Client, any director or partner of the Client, any Beneficial Owner and/or any Authorised Person have any other Accounts with Huatai or any of its Associates (including, without limitation, Huatai Securities Company Limited and Huatai Financial Holdings (Hong Kong) Company Limited)? Please include Accounts operated/owned by associates of the Client, as well as Accounts operated on the Client's behalf by other persons.

- No
- Yes. If Yes, please provide details:

Name of Account	Name of Huatai Group Entity and Branch	Account Number	Account Type	Credit Limit and Outstanding Amount (if any)

(d) Is any director or partner of the Client, any Beneficial Owner and/or any Authorised Person a licensed or registered person, or a director or an employee of any licensed corporation or registered institution licensed or registered with the Securities and Futures Commission in Hong Kong?

- No
- Yes. If Yes, please provide details: _____

If Yes, please also provide a consent letter from his/her employer.

(e) Is any director or partner of the Client, any Beneficial Owner, and/or any Authorised Person a director or employee

of Huatai or any of its Associates (including, without limitation, Huatai Securities Company Limited and Huatai Financial Holdings (Hong Kong) Company Limited)?

- No
- Yes. If Yes, please provide details:

Name of Huatai Group Entity and Branch	Name of Employee/Director/AE	Title/Department

(f) Is the Client, any director or partner of the Client, any Beneficial Owner and/or any Authorised Person an “insider” of a public company?

- No
- Yes

As person is considered to be an "insider" if within the last six months it is an affiliate of a Public Company or one of its directors, officers or employees (or his or her spouse, child, parent or sibling) is, or has been in the past six months, any of the following:

- (i) a director, officer, employee or a substantial shareholder holding at least 5% interest (or, if the applicable laws prescribe a lower percentage as the threshold for being a substantial shareholder or equivalent, such lower percentage), of a company listed on an exchange or quoted in a market or its listed affiliate (each a “**Public Company**”) or an affiliate of a Public Company;
- (ii) in a position which may reasonably be expected to give him / her access to material non-public information in relation to a Public Company; or
- (iii) in a position to make managerial decisions affecting the future development and business prospects of a Public Company.

If so, please provide details for each Public Company as follows:

Name of Public Company / Companies	Relevant Exchange / Market	Details of connection with the Public Company	Shareholding %

(g) Has any director or partner of the Client, any Beneficial Owner and/or any Authorised Person ever been bankrupt, been serviced with a bankruptcy petition, or undergone any other similar procedure during the last 7 years?

- No
- Yes. If Yes, please provide details.

(h) Has the Client undergone any restructuring during the last 7 years, or been served with a winding-up petition, or had a receiver, administrator or liquidator appointed to manage its affairs?

- No
- Yes. If Yes, please provide details.

(i) Please provide details of any litigation or proceedings in which the Client has been engaged in the last three (3) years or any proceedings pending or threatened against the Client.

(j) Liquidity:

Does the Client have the means to make regular contributions and meet extra collateral requirements, where appropriate?

- Yes No

Does the Client depend on having liquid assets/cash to meet any current or anticipated payment requirements or needs?

- Yes No

What is the amount of cash the Client needs to set aside to meet liquidity and emergency needs?

Please specify (HKD): _____

(k) Percentage of Investable/Liquid Assets

What is the percentage of the Client's assets (excluding real estate property for own use) currently held in investment products where the value can fluctuate?

- < 25%
- 25% - 49%
- 50% - 75%
- > 75%

What is the percentage of investable/liquid asset that will be invested using Huatai's services (this percentage should only represent risk capital)?

- < 25%
- 25% - 49%
- 50% - 75%
- > 75%

10. Specimen of Client chop or seal

11. Client's Financial Information (HKD)

(a) Annual Net Profit After Tax

(i) Amount: _____ for fiscal year ending _____

(ii) Amount: _____ for fiscal year ending _____

(b) Total Net Worth and Liabilities

(i) Total Net Worth: _____

(ii) Total Liabilities: _____

(c) Does the Client own any property / real estate?

No

Yes

If yes, please provide the following details for each property:

(i) Residential Properties:

Address: _____

Owned (No mortgage)

Mortgaged

Lender: _____

Monthly Installment (HKD): _____

Balance / Overdraft Limit (HKD): _____

If Property is Rented, Monthly Rental (HKD): _____

(ii) Properties other than Residential Properties

Address: _____

Owned (No mortgage)

Mortgaged

Lender: _____

Monthly Installment (HKD): _____

Balance / Overdraft Limit (HKD): _____

If Property is Rented, Monthly Rental (HKD): _____

(d) Net Worth Distribution

Properties: []%

Cash: []%

Securities / Vanilla Products: []%

Structured Products: []%

Others: []% Please specify: _____

[]% Please specify: _____

[]% Please specify: _____

12. Client's Investment Objectives and Experience

(a) Investment Experience

	Frequency of trade per year		
	Uninvolved	<40 times	>40times
Shares	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Debentures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Funds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Leverage Foreign Exchange	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Precious Metals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Futures/Options	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Derivative Products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Estimated aggregate product investment (past and present) (HKD)			
	Uninvolved	<8,000,000	8,000,000-30,000,000	>30,000,000
Shares	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Debentures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Funds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Leverage Foreign Exchange	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Precious Metals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Futures/Options	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Derivative Products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Investment Experience (Years) Nil Less than 2 years 2-5 years
 6-10 years Over 10 Years

Investment Experience (Markets): _____

(b) Investment Horizon

- Short Term (less than 6 months) Medium Term (6-24months) Long Term (over 2 years)

(c) Investment Objective

- Aggressive Capital Growth (to generate aggressive growth of capital with no need for regular income generation, and willing to have exposure to the highest risk)
- Capital Appreciation (to generate capital growth over time, with no need for regular income generation)
- Growth and Income (to seek a balance in capital growth and regular income generation)
- Capital Preservation (to primarily preserve capital, with some regular income generation as secondary consideration)
- Income (to primarily seek regular income generation with some capital growth as secondary consideration)
- Others, please specify: _____

(d) Client Risk Tolerance

- Low (only able to tolerate low risk at the sacrifice of return)
- Moderate (able to tolerate slight volatility and little loss of capital with low return)
- Moderate Growth (able to tolerate reasonable volatility and accept some loss of capital with reasonable return)
- High (able to tolerate high volatility and total or substantial loss of capital in order to maximize return)

(e) Client's Knowledge of Derivatives

Does the Client intend to purchase derivatives products?

No

Yes. If yes, then answer the following:

(i) Does the Client have experience related to derivative products?

No

Yes. If yes, please specify: _____

(ii) Has the Client traded /executed five or more transactions in derivative products (e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, whether traded on an exchange or not) within the past three years?

No

Yes

(iii) Other information relevant to the Client's knowledge of derivatives: _____

13. Acknowledgment and Confirmation

Signed: **Date:**

Director/Partner/Trustee/Officer (delete where necessary)
(for and on behalf of the Client)

Name:

Signed: **Date:**

Director/Company Secretary/Partner/Trustee/Officer (delete where necessary)
(for and on behalf of the Client)

Name:

Signed: **Date:**

Witness of Signatures
(Huatai employee / Notary Public / Justice of the Peace
Certified Public Accountant / Lawyer) (delete where necessary)

Name: **Role:**

Date: **Passport / Hong Kong ID Card No.:**

For Internal Use Only

Verified by (Name and Role):

Employee No.: **Date:**

Signed:

Approved by (Name and Role) (1):

Employee No.: **Date:**

Signed:

Approved by (Name and Role) (2):

Employee No.: **Date:**

Signed:

Supporting Documents Required For Account Opening

(For reference only)

Copies of the following documents, certified to be true and complete in the last three (3) calendar months by [two (2) directors or one (1) director and the company secretary/one Partner/one Trustee/one person exercising control] [over/of] the Client or a professional body acceptable to Huatai shall be provided. Huatai reserves the right to request additional supporting documents from the Client.

Where the account opening documents are not executed in the presence of a Huatai employee, the copies of identity documents should be certified by any other licensed or registered person, an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public. Certification services that are recognized by the Electronic Transactions Ordinance (Cap. 553), such as the certification services available from the Hongkong Post, may also be employed. The certifier must sign and date the copy document (printing his/her name clearly in capitals underneath) and clearly indicate his/her position or capacity on it. The certifier must state that it is a true copy of the original (or words to similar effect).

(Please tick supporting documents provided)

Identity verification in respect of relevant companies, trusts, partnerships, associations

- Certificate of Incorporation/Certificate of Registration**
- Certificate of business registration (if applicable)**
- Business Registration Certificate (if applicable)**
- Memorandum (if applicable)**
- Articles of Association (if applicable)**
- Partnership Agreement (if applicable)**
- Constitution of the association (if applicable)**
- Trust Deed (if applicable)**
- Details of ownership and structure control (e.g. ownership chart³) (if applicable⁴)**
- Specimen of Company Chop (if applicable)**
- Certificate of incumbency issued within the last 6 months (if available)**

Identity verification in respect of relevant individuals

- Valid Identity document (e.g. (i) for Hong Kong permanent residents: Hong Kong identity card, certificate of identity or document of identity; and (ii) for non-Hong Kong residents: passport, travel document⁵, national identity card (including a photograph) or national driving license (including a photograph)) of⁶:**
 - **Authorised Persons**
 - **Directors/Partners/Individuals exercising control of the partnership/association**
 - **Trustee(s), Settlor(s), Protector(s); Enforcer(s) and/or Beneficiary(ies)**
 - **Beneficial Owners**
- Proof of current residential address (and of permanent address, if different from residential address)⁷ for each:**
 - **Authorised Persons**
 - **Directors/Partners/Individuals exercising control of the partnership/association**

³ At a minimum, the chart should include the relevant entities' name, place of incorporation and, where applicable, the rationale behind the particular structure employed.

⁴ Identification of the beneficial owner of the Client is not required where Huatai is establishing a business relationship with a Client to whom simplified due diligence may be applied (as specified in section 15 of Schedule 2 to the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance (Cap. 615)).

⁵ The following documents constitute travel documents for the purpose of identity verification: (a) Permanent Resident Identity Card of Macau Special Administrative Region; (b) Mainland Travel Permit for Taiwan Residents; (c) Seaman's Identity Document (issued under and in accordance with the International Labour Organisation Convention/Seafarers Identity Document Convention 1958); (d) Taiwan Travel Permit for Mainland Residents; (e) Permit for residents of Macau issued by Director of Immigration; (f) Exit-entry Permit for Travelling to and from Hong Kong and Macau for Official Purposes; and (g) Exit-entry Permit for Travelling to and from Hong Kong and Macau.

⁶ Huatai should retain a copy of the "biodata" page which contains the bearer's photograph and biographical details.

⁷ Methods for verifying residential addresses may include obtaining: (a) a utility bill issued within the last 3 months; (b) a statement issued by an authorized institution, a licensed corporation or an authorized insurer within the last 3 months,

- **Trustee(s), Settlor(s), Protector(s); Enforcer(s) and/or Beneficiary(ies)**
- **Beneficial Owners**

Employer's consent letter

Other verifications

Board Resolution(s)/written authority/power of attorney conferring power and authority to Authorised Persons to give instructions to Huatai on behalf of the Client