

**農銀國際**

ABC INTERNATIONAL

ABC SECURITIES COMPANY LIMITED

Wholly Owned Subsidiary of Agricultural Bank of China Ltd  
(Exchange Participant of The Stock Exchange of Hong Kong Ltd)

農銀國際證券有限公司 ABCI Securities Company Limited

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CE No. CE 編號: ACX411

**CASH CLIENT'S SECURITIES ACCOUNT OPENING INFORMATION FORM –  
CORPORATE ACCOUNT**

(ABCI Securities Company Limited "ABCIS")

Account Number:

(Please tick "✓" the appropriate field, #Delete whichever inapplicable, ®Select all applicable)

<b>Company Information ("Client")</b>	
Company Name:	Company Name (Chinese):
Account Name (If different from above):	
Place of Incorporation/Establishment <sup>#</sup> :	Date of Incorporation/Establishment <sup>#</sup> :
Business Registration No. <sup>#</sup> :	Incorporation No. <sup>#</sup> :
Registered Office/Office Address:	
Correspondence Address:	
Email Address:	
Delivery of statements: <input type="checkbox"/> By mail to correspondence address / <input type="checkbox"/> By email	
Open an Internet Trading Account: <input type="checkbox"/> No / <input type="checkbox"/> Yes	
Tel. No.:	Fax No.:
( )	( )
Nature of Business:	
Is the Client regulated by relevant authorities in Hong Kong or overseas (e.g. SFC, SEC, etc.)? <input type="checkbox"/> No / <input type="checkbox"/> Yes, the Company is regulated by: _____	
Is any member of the Client's group of companies a client of ABCIS? <input type="checkbox"/> No / <input type="checkbox"/> Yes, account name of relevant group member(s): _____ Account Number: _____	
<b>Financial Profile</b>	
Annual Revenue:	<input type="checkbox"/> < HK\$500,000 <input type="checkbox"/> HK\$500,000-HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001-HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001-HK\$10,000,000 <input type="checkbox"/> HK\$10,000,001-HK\$50,000,000 <input type="checkbox"/> HK\$50,000,001-HK\$100,000,000 <input type="checkbox"/> >HK\$100,000,000, please specific:
Annual Net Profit:	<input type="checkbox"/> < HK\$500,000 <input type="checkbox"/> HK\$500,000-HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001-HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001-HK\$10,000,000 <input type="checkbox"/> HK\$10,000,001-HK\$50,000,000 <input type="checkbox"/> HK\$50,000,001-HK\$100,000,000 <input type="checkbox"/> >HK\$100,000,000, please specific:
Net Assets:	<input type="checkbox"/> < HK\$500,000 <input type="checkbox"/> HK\$500,000-HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001-HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001-HK\$10,000,000 <input type="checkbox"/> HK\$10,000,001-HK\$50,000,000 <input type="checkbox"/> HK\$50,000,001-HK\$100,000,000 <input type="checkbox"/> >HK\$100,000,000, please specific:
Source of Wealth <sup>@</sup> :	<input type="checkbox"/> Operation Income <input type="checkbox"/> Investment Income <input type="checkbox"/> Interest Income <input type="checkbox"/> External Borrowing <input type="checkbox"/> Dividend Income <input type="checkbox"/> Rental Income <input type="checkbox"/> Sale of Investment <input type="checkbox"/> Funds from shareholders/capital contributions from partners <input type="checkbox"/> Others (Please specify):
Source of Funds <sup>@</sup> :	(a) Country(ies) of Origin(s) of Funds: <input type="checkbox"/> Hong Kong <input type="checkbox"/> Mainland China <input type="checkbox"/> Macau <input type="checkbox"/> Singapore <input type="checkbox"/> United States <input type="checkbox"/> Canada <input type="checkbox"/> Others (Please specify): (b) Activity(ies) that generates the Funds <input type="checkbox"/> Operation Income <input type="checkbox"/> Investment Income <input type="checkbox"/> Interest Income <input type="checkbox"/> External Borrowing <input type="checkbox"/> Dividend Income <input type="checkbox"/> Rental Income <input type="checkbox"/> Sale of Investment <input type="checkbox"/> Funds from shareholders/capital contributions from partners <input type="checkbox"/> Others (Please specify):

Payment Instruction:

Delivery Versus Payment "DVP" through CCASS, Name of Custodian :

CCASS Participant ID :

SI Client Code (if any) :

Please hold payment and issue cheque to the Client's bank account opened in Hong Kong upon request

Please issue cheques to the Client's bank account opened in Hong Kong on the settlement date (Prescribed currency: HKD)

Bank Name	Bank Account Number	Currency (HKD)

**The Client may provide the following information in a separate attachment.**

The following persons are directors of the Client:

Name	Nationality	ID Card/Passport No. and issuing country

The following are details of the Client's ultimate beneficial owner(s) (not applicable to public listed companies):

Name	Address	Contact Tel. No.	Shareholding % (25% or more)

Any one of the following individuals is authorized on behalf of the Client to give verbal trading instructions:

Name	Nationality	ID Card/Passport No. and issuing country	Contact Tel No.

The following individuals are authorized on behalf of the Client to give written instructions to operate the Account:

Name	Nationality	ID Card/Passport No. and issuing country	Contact Tel No.	Specimen Signature

Any \_\_\_\_\_ of total \_\_\_\_\_ signature(s) #together with Company chop shall be valid

Specimen of Company Chop/Seal#:

Is the Client or the Client's director(s), shareholder(s) or authorized person(s), licensed by or registered with the SFC?

No /  Yes, details are

If the above answer is "Yes", has the Client or the Client's director(s), shareholder(s) or authorized person(s) obtained approval from the employer for opening a securities account with ABCIS?

N/A /  No /  Yes

Is the Client or the Client's director(s), shareholder(s) or authorized person(s) a director, employee or major shareholder of any listed company?

No /  Yes, name of the listed company and place of listing:

**Staff Account**

Is any of the Client's shareholder(s), director(s), partner(s), authorized person(s) or the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owners of the Account a director or an employee of ABCIS or any of its subsidiaries?

No /  Yes, name of the director(s) or employee(s):

**Related Account**

Do any of the Client's shareholder(s), director(s), partner(s), authorized person(s) or the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owner(s) of the Account ("Relevant Person(s)") have any relationship with the director(s) or employee(s) of ABCIS or any of its subsidiaries?

No /  Yes, please specify the following:

Name of the Relevant Person(s): \_\_\_\_\_

Name of the director(s) or employee(s): \_\_\_\_\_

Relationship:  Father/ Mother/ Son/ Daughter  Husband/Wife  Other:

Are any of the Client's Relevant Person(s) (as defined in the preceding question) entrusted with prominent public functions, such as being senior politicians or government officials, judicial officials, senior executives of state owned corporations, or family members or close associates of the above-mentioned parties?

No /  Yes, please specify:

Process Agent (Applicable to non-Hong Kong Client)	
The Client hereby irrevocably appoints _____ (Name) of _____ (Hong Kong Address) as the process agent for the purpose of accepting service of legal process relating to ABCIS' Cash Client's Agreement and the Account.	
Investment Experience	
Investment Experiences@:	<input type="checkbox"/> Stocks / <input type="checkbox"/> Warrants / <input type="checkbox"/> Options / <input type="checkbox"/> Bonds / <input type="checkbox"/> Fund / <input type="checkbox"/> Other Derivatives / <input type="checkbox"/> Nil
Investment Objective@:	<input type="checkbox"/> Capital appreciation / <input type="checkbox"/> Dividend yield / <input type="checkbox"/> Hedging / <input type="checkbox"/> Speculation / <input type="checkbox"/> Others (Please specify):
Client knowledge on derivative products:	
(a) Has Client undergone training or attended courses that provide general knowledge of the nature and risk of derivatives? <input type="checkbox"/> No / <input type="checkbox"/> Yes	
(b) Has the Client currently or previously worked in a role related to derivative products? <input type="checkbox"/> No / <input type="checkbox"/> Yes Relevant employment period: _____ Name of employer: _____	
(c) Has the Client executed five or more transactions in derivative products within the past three years? <input type="checkbox"/> No / <input type="checkbox"/> Yes	
<i>The Client will not be able to trade derivative products through ABCIS' trading account if the Client has been classified as not having sufficient knowledge on derivative products. The Client is required to sign and return the separate form "Risk Disclosure Statement – Derivative Products" to ABCIS' office if he/she wishes to trade those products.</i>	
Supporting Documents*	
Company incorporated in Hong Kong	Overseas registered corporation
1) Certificate of Incorporation 2) Memorandum and Articles of Association 3) Business Registration Certificate 4) Director List and Shareholder List 5) Latest Annual Return and subsequent form(s) filed with the Hong Kong Companies Registry ( <i>being certified by the Hong Kong Companies Registry or a professional third party</i> ) 6) Board resolution authorizing the execution of this Account Opening Information Form, the Cash Client's Agreement and the relevant documents 7) Copy of Directors' and authorized signatories' passport or identity card 8) Copy of all ultimate beneficial owners' (shareholding with 25% or more) passport or identity card and the residential address proof (and permanent address, if different) 9) Details of the ownership and structure control of the company (e.g. an ownership chart)	1) Certificate of Incorporation 2) Memorandum and Articles of Association 3) Director List and Shareholder List 4) Board resolution authorizing the execution of this Account Opening Information Form, the Cash Client's Agreement and the relevant documents 5) Copy of Directors' and authorized signatories' passport or identity card 6) Copy of all ultimate beneficial owners' (shareholding with 25% or more) passport or identity card and the residential address proof (and permanent address, if different) 7) Certificate of Incumbency (issued in the last 6 months) ( <i>being certified by a company registry or a person stated below</i> ) 8) Office or correspondence address proof (within the last 3 months) 9) Details of the ownership and structure control of the company (e.g. an ownership chart)
<b>Remark: Unless specified otherwise, the above documents must be certified true as a true copy by a professional person such as a notary public, branch manager of a FATF bank, lawyer, certified public accountant, or Justice of the Peace. The above documents can also be certified by the designated staff at ABCIS upon presentation of the originals</b>	

(A) **Client Confirmation:**

- We confirm that the information which we provide in this **Cash Client's Account Opening Information Form** is true, correct and complete in all respects. ABCIS is entitled to rely fully on such information for all purposes, unless ABCIS receives notice in writing of any change therein.
- We confirm and understand that the **Cash Client's Agreement** forms a part of, and should be read together with, the Cash Client's Account Opening Information Form. We understand the terms and conditions stated in the **Cash Client's Agreement** including the terms under the Consent To Trade Securities On Internet, Overseas Securities Trading Authorization Letter and Bonds Trading Authorization Letter (if applicable), and accept and agree to be bound by them; and we are executing and delivering this **Cash Client's Account Opening Information Form** in acceptance thereof as a deed.
- We acknowledge and confirm that the **Risk Disclosure Statements** were provided to us in the language of our choice (English or Chinese).
- We acknowledge and confirm that we were invited to read the **Risk Disclosure Statements** carefully, to ask questions and take independent advice if we wish.
- We understand that if the required information and the supporting documents\* are not fully completed or submitted, ABCIS may delay the opening of the account.

\_\_\_\_\_  
Signature of Director / Authorized Person  
(With Company Chop)

\_\_\_\_\_  
Date:

\_\_\_\_\_  
Name:

(B) **Witness (Completed by the professional person<sup>#</sup> or SFC licensed representative)**

I hereby witness the signature(s) of the Client (with the original identity card/ passport)

\_\_\_\_\_  
Signature

Print Name:

Capacity:

Name of the employer:

Contact phone number:

\_\_\_\_\_  
Date:

*# Professional person can be a notary public/ branch manager of a FATF bank /lawyer /certified public accountant /Justice of Peace.*

(C) **Declaration by the licensed representative of ABCIS**

I, the undersigned, declare that:

- the **Risk Disclosure Statements** have been provided to the Client in English or Chinese (as the case may be), being the language of the Client's choice;
- I have invited the Client to read the said **Risk Disclosure Statements** and encourage the Client to ask questions and take independent advice if the Client so wishes; and
- Having considered the information completed by the Client, does the Client have sufficient knowledge on derivative products?  No /  Yes
- Is the Client entitled to trade derivative products?  No /  Yes

\_\_\_\_\_  
Signature

Print Name:

CE Number:

\_\_\_\_\_  
Date: