

**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

**MARGIN 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)

Company Information ("Client")	
Company Name:	Company Name (Chinese):
Account Name (If different from above):	
Place of Incorporation/Establishment [#] :	Date of Incorporation/Establishment [#] :
Business Registration No. [#] :	Incorporation No. [#] :
Registered Office/Office Address:	
Correspondence Address:	
Email Address: Delivery of statements: <input type="checkbox"/> By mail to correspondence address / <input type="checkbox"/> By email Delivery of margin adjustment notifications: <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 Client 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: _____	
Financial Profile	
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 [®] :	<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 [®] :	(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:

Please issue cheques to the Client's bank account opened in Hong Kong upon request (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:

Related / Connected Margin Clients

Does the Client (i) directly or indirectly, either along or with his spouse, control 35% or more of the voting rights of a company which is a margin client of ABCIS and/or (ii) belong to the same group of companies as another company which is a margin client of ABCIS and/or (iii) has financial connected with other margin client of ABCIS by guarantee arrangement?

No / Yes, name of the Relevant Company (ies) : _____

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' Margin 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):
<p>Client knowledge on derivative products:</p> <p>(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</p> <p>(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: _____</p> <p>(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</p> <p><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></p>	
Support 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 Margin 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 Margin 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)
<p>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.</p>	

(A) Client Confirmation:

- We confirm that the information which we provide in this **Margin 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 **Margin Client's Agreement** forms a part of, and should be read together with, the **Margin Client's Account Opening Information Form**. We understand the terms and conditions stated in the **Margin 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 **Margin 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 a professional person[#] 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

LETTER OF AUTHORITY

Unless otherwise defined, all the terms used in this authorization letter shall have the same meanings as in the Securities and Futures Ordinance, the Securities and Futures (Client Money) Rules ("**Client Money Rules**") and Securities and Futures (Client's securities) Rules (the "**Client's securities Rules**") as amended from time to time.

Standing Authority

The Standing Authority covers all monies, securities and Securities Collateral (defined below) received or held by ABCI Securities Company Limited (the "**Company**") on the Client's behalf.

The Client authorizes the Company to:-

- (a) deposit any of the Client's securities with an authorized institution (as defined by the Banking Ordinance) as collateral for loans or advances made to the Company;
- (b) borrow or lend any of the Client's securities to fulfill settlement obligations between Hong Kong Stock Exchange members. Any borrowing or lending must be in accordance with Hong Kong Stock Exchange rules and regulations;
- (c) deposit any of the Client's securities with Hong Kong Securities Clearing Company Limited as collateral for the discharge and satisfaction of the Company's obligations and liabilities under the General Rules of the Central Clearing and Settlement System. The Client understands that Hong Kong Securities Clearing Company Limited will have a first fixed charge over the Client's securities to the extent of the Company's obligations and liabilities;
- (d) to apply the Client's securities or Securities Collateral pursuant to a securities borrowing and lending agreement. For the purpose of this authority, "**Securities Collateral**" means any securities deposited with or otherwise provided by or on behalf of the Client to the Company or any other person, in the course of the conduct of any regulated activity for which the Company is registered or is required to register under the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong), to secure or facilitate the provision of financial accommodation by the Company;
- (e) to apply the Client's securities in accordance with paragraphs (a) to (d) above if the Company provides financial accommodation to the Client in the course of dealing in securities and also provides financial accommodation to the Client in the course of any other regulated activities of which it is licensed;
- (f) as regards any action (including, without limitation, any rights or new issues or any consolidation, split or redenomination of funds stocks or shares or any other routine event) in connection with any Client's securities or Securities Collateral which affects the Client as the owner of such Client's securities or Securities Collateral, to subscribe, take up or dispose of any rights, benefits, interests or entitlements arising from them or to deal or act in any manner in accordance with any instruction from the Client whether the instruction is given in writing or by any other means (except that any applicable provisions in the constitutional and/or offering documents under which such Client's securities or Securities Collateral were issued, offered or sold shall always prevail and the Company is authorised to deal or act or refrain from dealing or acting in accordance with such provisions despite any instruction from the Client) or, in the absence of or delay in receiving instruction from the Client, in such manner as the Company considers appropriate to preserve the interests of the Client;
- (g) combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by the Company or any company or companies within the group of companies (as defined in the Companies Ordinance (Chapter 622 of the Laws of Hong Kong)) to which the Company belongs (the "**ABCI Group**"), and the Company may transfer any sum of monies or any of the securities to and between such segregated account(s) to satisfy the Client's obligations or liabilities to any member of the ABCI Group, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several;
- (h) transfer any sum of monies (including for the purposes of currency conversion) or any of the securities interchangeably between any of the segregated accounts maintained at any time with the ABCI Group;
- (i) transfer any sum of monies interchangeably between any of the segregated accounts maintained at any time with any member of the ABCI Group and any segregated accounts maintained with counter-broker (whether in Hong Kong or overseas) upon or before any instructions have been given, for the purpose of satisfying margin requirement and/or settlement requirement (if applicable);
- (j) keep the monies of the Client with overseas clearing firm(s) or broker(s) after trading to facilitate future trading or to transfer such monies interchangeably between the segregated account(s) opened and maintained by the Client in Hong Kong and the segregated account(s) opened and maintained by the Client with any overseas clearing firm(s) or broker(s) outside Hong Kong;
- (k) dispose or initiate a disposal of the Client's securities in accordance with a request from Hong Kong Stock Exchange or otherwise required to comply with applicable laws, regulations and rules;
- (l) to sell dispose of or otherwise deal with any Client's securities or Securities Collateral on prevailing market conditions if such sale, disposal or dealing is required by any applicable law, rule, regulation or order or any direction, guideline, notice or restriction (whether or not having the force of law) issued by any competent authority, government agency, exchange or body or is otherwise for the protection of the Client and/or the Company;

- (m) to deal with any Client's securities or Securities Collateral in such manner as the Company considers appropriate to facilitate the provision of securities related services to the Client taking into account any legal or regulatory requirement or prevailing market practice applicable to the Company from time to time; and
- (n) to do all acts and things which are necessary for or incidental to the performance of the above activities or any of them.

The Company may do any of the things as set out above without giving the Client notice.

The Standing Authority does not cover any consideration the Client must pay or be paid for the Company's borrowing, lending or depositing any of the Client's securities. Any consideration must be set out in a separate agreement between us.

The Company is accountable to the Client for the return of any securities borrowed, lent, or deposited under the Standing Authority.

The Client understands that a third party may have rights to the Client's securities, which the Company must satisfy before the Client's securities can be returned to the Client.

The Standing Authority is valid for a period of 12 months from the date of this letter subject to renewal by the Client or deemed renewal under the Client Money Rules and the Client Securities Rules.

The Client understands that the Company may give to the Client written notice of 14 days prior to the expiry of this letter reminding the Client that the Standing Authority is soon to expire, and if the Client has not opposed to the renewal of this letter, the Standing Authority should be deemed to have been renewed for a further 12 months without the Client's consent.

The Standing Authority may be revoked by the Client at any time by giving to the Company prior written notice of termination of not less than 14 business days.

ABCI shall give the Client a written confirmation of the renewal of the Standing Authority within one week after the date of expiry.

This letter has been fully explained to the Client, and the Client understands the contents of this letter.

Signature of Director / Authorized Person
(with Company Chop)

Date