

Suntek Financial Investment Company Limited ("Suntek") is licensed under Part V of the Securities and Futures Ordinance (Cap 571 of the law of Hong Kong) ("SFO") to carry on Type 1 (dealing in securities), Type 4 (advising on securities) and Type 9 (asset management) regulated activities, and is an Exchange Participant of The Stock Exchange of Hong Kong Limited.
三泰富金融投資有限公司(「三泰富」)是根據香港法例第 571 章《證券及期貨條例》第 V 部獲發牌經營第一類受規管活動(即證券交易)、第四類受規管活動(即就證券提供意見)及第九類受規管活動(即提供資產管理),其中央編號為 BNG583,並為香港聯合交易所有限公司參與者。

ACCOUNT OPENING FORM (CORPORATE ACCOUNT) 開戶表格(公司帳戶)

For Internal Use Only 只供內部使用

Account Opening Date
開戶日期 _____

A. ACCOUNT TYPE 帳戶類別		
Account Type 帳戶類別	<input type="checkbox"/> Cash Account 現金帳戶	Account No. 帳戶帳號 _____
Does your Company require electronic trading services? 貴公司是否需要電子交易服務?	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否
Do you require Asset Management Services? 閣下是否需要資產管理服務?	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否
B. CORPORATE INFORMATION 公司資料		
Company Name (English) 公司名稱(英文):	Company Name (Chinese) 公司名稱(中文):	
Account Name (if different from the above) 帳戶名稱(若與上述不同):		
Type of Company 公司類別:		
<input type="checkbox"/> Sole Proprietorship 獨資經營	<input type="checkbox"/> Limited Company 有限公司	<input type="checkbox"/> Listed Company 上市公司
<input type="checkbox"/> Partnerships 合夥企業	<input type="checkbox"/> Trust 信託	<input type="checkbox"/> Other 其他: _____
Registered Address 註冊地址:		
Business Address 業務地址:		
Correspondence Address 通訊地址:		
E-mail Address (for receipt of e-statements (if applicable)) 電郵地址(收取電子結單(如適用)):		
Office Mobile Phone No. (applicable for electronic trading) 辦公室手提電話號碼(適用於電子交易):		
Method of Communication 通訊方法 ¹ :		
<input type="checkbox"/> Registered Address 註冊地址	<input type="checkbox"/> Business Address 業務地址	<input type="checkbox"/> Correspondence Address 通訊地址
<input type="checkbox"/> English 英文	<input type="checkbox"/> Traditional Chinese 繁體中文	<input type="checkbox"/> Simplified Chinese 簡體中文
Certificate of Incorporation No. 公司註冊編號:	Business Registration No. 商業登記編號:	
Country of Incorporation 註冊國家:	Date of Incorporation 註冊成立日期:	
Nature of Business 業務性質:	No. of Years in the Business 經營業務年期:	
Office Phone No. 辦公室電話號碼:	Office Fax No. 辦公室傳真號碼:	
Contact Person's Name 聯絡人姓名:	Contact Person's Phone No. 聯絡人電話號碼:	Contact Person's E-mail Address 聯絡人電郵地址:

¹ If choosing for receiving paper statements, postage service fees shall be charged for HK\$200 each month.
如選用郵遞結單,將收取郵遞服務費每月港幣 200 元。

C. FINANCIAL PROFILE 財務狀況

Annual Profit after tax based on the latest audited financial statement (HKD) 最近期經審核年度財務報表之年度稅後純利 (港幣) :

- \$0 – \$500,000 \$500,001 – \$1,000,000 \$1,000,001 – \$5,000,000
 \$5,000,001 – \$10,000,000 >\$10,000,000 (Please specify 請註明 : _____)

Net Assets based on the latest audited financial statement (HKD) 最近期經審核財務報表之淨資產 (港幣) :

- \$0 – \$1,000,000 \$1,000,001 – \$5,000,000 \$5,000,001 – \$8,000,000
 \$8,000,001 – \$40,000,000 >\$40,000,000 (Please specify 請註明 : _____)

Source of Funds:

資金來源 :

- Business Income 營業收入 Return on Investment 投資回報
 Financial Loan 財務借貸 Others 其他 : _____

Source of Wealth:

財富來源 :

- Business Income 營業收入 Investment by Shareholders 股東投資
 Sale of Properties/Assets 出售物業/資產 Others 其他 : _____

D. INVESTMENT PROFILE 投資狀況

Investment Objective:

投資目的 :

- Dividend Income 股息收入 Capital Appreciation 資本增值
 Speculation 投機 Others 其他 : _____

Investment Horizon:

投資年期 :

- Less than 1 Year 少於1年 1 Year to less than 3 Years 1年至少於3年
 3 Years to less than 5 Years 3年至少於5年 5 Years or Above 5年或以上

Anticipated Total Investment Per Year (HKD)

預計每年投資金額(港幣) : _____

E. INVESTMENT EXPERIENCE AND KNOWLEDGE 投資經驗及知識

Investment Product(s) and Investment Experience 投資產品及投資經驗

	None 沒有	0-1	2-5	6-10	>10 Year 年
Securities 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Derivative Warrants 衍生權證	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Stock Options 股票期權	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Futures Contracts 期指	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Options Contracts 期權	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mutual Funds 互惠基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bonds 債券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Knowledge of Derivative Products² 衍生產品的知識²

- The person who ultimately controls the Account or makes investment decisions for the company underwent training or attended courses on derivative products.
最終控制帳戶或為本公司作投資決定的該人仕曾接受有關衍生產品的培訓或修讀相關課程。
- The person who ultimately controls the Account or makes investment decisions for the company has current or previous work experience related to derivatives products.
最終控制帳戶或為本公司作投資決定的該人仕曾接受有關衍生產品的培訓或修讀相關課程。
- The Company has executed 5 or more transactions within the past 3 years in derivative products.
本公司過去3年曾執行5次或以上有關衍生產品的交易。
- We confirmed that we had carefully read and fully understood the Clause 15 of Client Agreements relating to Derivative Products, including risks associated with Derivative Products. We further confirmed that Suntek's licensed representative had fully explained to us the nature and risks of Derivative Products.
吾等確認，吾等已閱讀並完全明白關於衍生產品的客戶協議書內第15條，包括附帶於衍生產品的相關風險。吾等再進一步確認三泰富的持牌代表已完全向吾等解釋衍生產品的性質和風險。

F. DESIGNATED BANK ACCOUNT (WITHDRAWAL OF FUNDS) 指定銀行帳戶 (提取款項)

The following bank account(s) is(are) hereby designated by us as the bank account for the purpose of withdrawal of funds. We hereby instruct and authorize Suntek to deposit any or all funds payable to us into the following bank account(s). We agreed that Suntek should not be held liable for any loss, expenses or damages suffered by us as a result of any delay in depositing such payments caused by any reasons whatsoever.

吾等謹此指定以下的銀行帳戶作為提取款項用途的銀行帳戶。吾等謹此指示及授權三泰富將任何或所有應付予吾等之款項存入以下銀行帳戶。吾等同意三泰富一概不應對基於任何原因而延遲存入款項令吾等蒙受的任何損失、費用或賠償承擔任何責任。

Currency 貨幣	Name of Bank 銀行名稱	Account No 帳戶號碼	Name of Account Holder 帳戶持有人名稱	Country of Receiving Bank 收款銀行所在國家

² Derivative products included derivative warrants, callable bull/bear contracts, exchange traded funds and equity linked instruments.
衍生產品包括衍生權證、牛熊證、交易所買賣基金及股票掛鈎票據。

G. CORPORATE STRUCTURE 公司結構**G1. PARTICULARS OF ALL DIRECTORS 所有董事的資料**

	Name 姓名	Nationality 國籍	ID Card/Passport No. 身份證/護照號碼	Residential Address 住宅地址
1				
2				
3				
4				
5				

G2. PARTICULARS OF ALL SHAREHOLDERS (not applicable to listed company) 所有股東的資料 (上市公司不適用)

	Name 姓名	Nationality 國籍	ID Card/Passport No. 身份證/護照號碼	Shareholding % 股權百分比	Is the Shareholder a U.S. Person ³ ? 股東是一位美國人仕 ³ ?
1					<input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是
2					<input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是
3					<input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是
4					<input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是
5					<input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是

H. TRADING AUTHORIZATION 交易授權

The following person(s) is/are authorized on behalf of the Company to give written and/or oral trading instructions and specimen signatures appearing against their names are the true signatures of the authorized person(s):

本公司現授權下列人仕代表本公司以書面及/或口頭發出交易指示，而獲授權人仕之真實簽名樣本已於其姓名旁邊顯示：

	Name of Authorized Person(s) 獲授權人仕姓名	ID Card/Passport No. 身份證/護照號碼	Phone No. 電話號碼	Specimen Signature 簽名式樣
1				
2				
3				
4				

³ U.S. Person means U.S. Citizen, U.S. Resident, a holder of U.S. Passport or Green Card.

美國人士即指美國公民、美國居民、美國護照或綠卡持有人。

I. SIGNING ARRANGEMENT 簽名安排

Any _____ of the following person(s) is/are authorized to deposit/withdraw funds/shares to/from the Account, give settlement instructions and any other instructions on behalf of the Company and specimen signatures appearing against their names are the true signatures of the authorized person(s):

以下任何 _____ 位獲授權人仕簽署均可代表本公司對帳戶進行資金/股票儲存/提取，發出清算指令和其他有關帳戶的指令，而獲授權人仕之真實簽名樣本已於其姓名旁邊顯示：

	Name of Authorized Person(s) 獲授權人仕姓名	ID Card/Passport No. 身份證/護照號碼	Phone No. 電話號碼	Specimen Signature 簽名式樣
1				
2				
3				
4				

J. DISCLOSURE OF INFORMATION 資料披露

Does your Company maintain any other account(s) with Suntek ?

貴公司現時是否持有三泰富任何其他帳戶？

No 否 Yes 是 (If yes, please specify 如是，請註明：_____)

Is/are your Company's shareholder(s), partner(s), director(s), authorized person(s) or the ultimate beneficial owner(s) of the Account a director or employee of Suntek ?

貴公司的股東、合夥人、董事、獲授權人仕或帳戶之最終實益擁有人是否三泰富的董事或僱員？

No 否 Yes 是 (If yes, the name of that Suntek's Director/Employee 如是，該三泰富董事或僱員的姓名：_____)

Do any of your shareholder(s), partner(s), director(s), authorized person(s) or the ultimate beneficial owner(s) of your Company (collectively referred to as "Relevant Person(s)") have any relationships with director(s) or employee(s) of Suntek ?

貴公司的股東、合夥人、董事、獲授權人仕或帳戶之最終實益擁有人(以下統稱為「有關人仕」)與三泰富的董事或僱員是否有任何親屬關係？

No 否 Yes 是 (If yes, the name of that Relevant Person(s) 如是，該有關人仕的姓名：_____)

The name of that Suntek's Director(s) or Employee(s) and Relationship 該三泰富董事或僱員的姓名及關係：_____

Do any of the "Relevant Person(s)" have any relationships with senior officer(s), director(s) or substantial shareholder(s) of any listed company?

任何有關人仕是否與上市公司的高級人員、董事或主要股東有任何親屬關係？

No 否 Yes 是 (If yes, the name of the Listed Company 如是，上市公司的名稱：_____)

The name of that Relevant Person(s) and Relationship 如是，該有關人仕的姓名及關係：_____

Is/Are shareholder(s), partner(s) or director(s) of your Company employees of any Licensed/Registered Person of the Securities and Futures Commission ("SFC") ?

貴公司的董事、合夥人或股東是否證券及期貨事務監察委員會「證監會」持牌人/註冊人的董事或僱員？

No 否 Yes. (If yes, please provide the Employer's consent letter. 如是。請提供僱主的書面同意書。)

Name of that Shareholder(s), Partner(s), or Director(s) 該董事、合夥人或僱員的姓名：_____

Name of Licensed/Registered Person of the SFC 證監會持牌人/註冊人的姓名：_____

Is any directors, partners or shareholders of your Company or his spouse, partner, children, parents, spouse or partner of his children, close associate is a "Politically Exposed Person" ("PEP")(i.e. an individual is or has been entrusted with a prominent public function in any place and/or any international organization, including but not limited to a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official) ?

貴公司的董事、合夥人、股東、或其配偶、伴侶、子女、父母、子女之配偶或伴侶、或與其關係密切的人仕是否「政治人物」(即該人仕在任何地方及/或任何國際組織擔任或曾擔任重要公職，包括但不限於國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)？

No 否 Yes 是 (If yes, the name of that PEP 如是，該政治人物的姓名：_____)

Relationship with our Company 與本公司的關係：_____

Place and Public Function Entrusted With 地方及所擔任的公職：_____

J. DISCLOSURE OF INFORMATION 資料披露

Is your Company (i) the ultimate beneficial owner of the Account, (ii) ultimately benefiting from the transactions and bearing the risks for the Account, or (iii) ultimately responsible for originating instructions for the Account?

貴公司戶是否(i) 帳戶的最終實益擁有人 (ii) 帳戶的最終受益於交易及承擔風險人仕/ (iii) 帳戶的最終負責發出指示的人仕?

Yes 是 No 否 (If no, please complete Section K 如否, 請填寫 K 部分。)

K. (i) ULTIMATE BENEFICIAL OWNER/ (ii) PERSON ULTIMATELY BENEFITING FROM THE TRANSACTIONS AND BEARING THE RISKS/ (iii) PERSON ULTIMATELY RESPONSIBLE FOR ORIGINATING INSTRUCTIONS
(i) 最終實益擁有人/ (ii)最終受益於交易及承擔風險人仕/ (iii) 最終負責發出指示的人仕

- | | |
|--|--|
| <input type="checkbox"/> Ultimate beneficial owner
最終實益擁有人
<input type="checkbox"/> Person ultimately benefiting from the transactions and bearing the risks
最終受益於交易及承擔風險人仕
<input type="checkbox"/> Person ultimately responsible for originating instructions
最終負責發出指示的人仕 | <input type="checkbox"/> Ultimate beneficial owner
最終實益擁有人
<input type="checkbox"/> Person ultimately benefiting from the transactions and bearing the risks
最終受益於交易及承擔風險人仕
<input type="checkbox"/> Person ultimately responsible for originating instructions
最終負責發出指示的人仕 |
|--|--|

English Name 英文姓名：		
Chinese Name 中文姓名：		
ID Card/Passport No. 身份證/護照號碼：		
Nationality 國籍：		
Are you a U.S Person? 閣下是否美國人?		
Residential Address 住宅地址：		
Correspondence Address 通訊地址：		
Phone No. 電話號碼		
Control % 所佔控制權百分比：		

L. USE OF PERSONAL DATA IN DIRECT MARKETING 使用個人資料作直接促銷

Suntek intends to use personal data of your Company (including, without limit, your company name, contact details, financial background as well as demographic and statistical data) for direct marketing purposes, or transfer such personal data to any member of Suntek's group of company and/or Suntek's affiliates for direct marketing purposes. Direct marketing will include, without limit, regular sending to your Company e-mail alerts, announcements, updates, festive greetings and/or invitations to events. The purpose of these communications is to keep your Company up to date with financial and investment information and other areas of interest, and to market to your Company our investment products and services. Suntek keep your personal data confidential, Suntek hopes that your Company wants to receive these types of communications from us as we believe your Company will find them useful and informative.

三泰富有意使用貴公司的個人資料(包括,但不限於公司名稱、聯絡詳情、財務背景及人口和統計數據)作直接促銷目的,或將該等個人資料轉移至三泰富公司集團的任何成員及/或三泰富的子公司以進行直接促銷。直接促銷將包括,但不限於不時向貴公司發送電郵提示、公告、更新、節日祝福及/或活動邀請。這些通訊的目的是讓貴公司及時了解財務和投資信息及其他相關領域的資訊,並向貴公司推銷我們的投資產品及服務。三泰富對閣下的個人資料將會保密。三泰富期望貴公司收取此類型的通訊,因三泰富相信貴公司發現它們實用及豐富。

- The Company explicitly **AGREES** to the proposed use or transfer of personal data of the Company by Suntek, any member of Suntek's group of company and/or Suntek's affiliates for all kinds of direct marketing purpose.
 本公司明確**同意**三泰富、三泰富公司集團的任何成員及/或三泰富的子公司使用或轉移本公司的個人資料,作各種直接促銷用途。

M. STANDING AUTHORITY – CLIENT MONEY 常設授權 - 客戶款項

- We hereby acknowledged and undertook that:
吾等謹此確認及承諾：

This Standing Authority covers money held or received by Suntek in Hong Kong (including any interest derived from the holding of the money which does not belong to Suntek) in one or more segregated account(s) on my/our behalf ("Monies").

本常設授權是涵蓋三泰富為本人/吾等在香港收取或持有並存放於一個或多個獨立帳戶內之款項(包括因持有並非屬於三泰富之款項而產生之任何利息)(下稱「款項」)。

Unless otherwise defined, all the terms used in this Standing Authority shall have the same meanings as in the SFO and the Securities and Futures (Client Money) Rules as amended from time to time. Segregated account(s) include any account(s) designated as client account(s) established and maintained in or outside Hong Kong.

除非另有說明,本常設授權之名詞與《證券及期貨條例》及《證券及期貨(客戶款項)規則》不時修訂的定義具有相同意思。獨立帳戶包括在香港或香港以外地方設立及維持並標明為客戶帳戶的任何帳戶。

This Standing Authority authorizes Suntek to:
本常設授權授權三泰富：

M. STANDING AUTHORITY – CLIENT MONEY 常設授權 - 客戶款項

1. Combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by Suntek from time to time, and Suntek may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to Suntek, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, joint or several.
組合或合併三泰富所維持的任何性質的任何或全部獨立帳戶，此等組合或合併活動可以個別地或與其他帳戶聯合進行，三泰富可將該等獨立帳戶內任何數額之款項作出轉移，以解除本人/吾等對三泰富的義務或法律責任，不論此等義務和法律責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的；
2. Set-off or transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by Suntek towards satisfaction of any of my/our liabilities to Suntek;
三泰富可將款項的任何款額任何時間維持的獨立帳戶之間轉入轉出以結清本人/吾等對三泰富負有的債務；
3. Transfer any sum of Monies to the client account(s) of any clearing firm(s) or financial institution(s) in Hong Kong or overseas for the purpose of dealing in securities or meeting the settlement or any/our financial obligations in my/our dealing in Hong Kong or overseas through that clearing firm(s) or financial institution(s); and
轉帳任何數額之款項至任何香港或海外清算行或金融機構的客戶帳戶，以應付證券交易、交收或本人/吾等經清算行或金融機構所要履行的財務責任；及
4. Exchange my/our Monies into any other currency(ies) at the rate of exchange conclusively determined by Suntek.
可將帳戶內的款項以三泰富最終確定的匯率兌換成任何其他貨幣。

Suntek may do any of the above without giving me/us any notice.

三泰富可不向本人/吾等發出任何通知，而採取上述任何一種行動。

This Standing Authority is given to Suntek in consideration of your agreement in opening and continuous maintaining Securities Cash Trading Account for me/us.

本常設授權書乃鑑於三泰富同意開立及繼續維持本人/吾等的證券現金交易帳戶。

This Standing Authority is given without prejudice to other authorities or rights which Suntek may have in relation to dealing in Monies in the segregated accounts.

本人/吾等明白本人/吾等的證券可能受制於第三者之權利，三泰富可於全數抵償該等權利後，方將本人/吾等的證券退回給本人/吾等。

This Standing Authority is valid for a period of up to 12 months from the date hereof.

本常設授權以本函簽發日期起計十二個月內有效。

I/We understand that a notice of renewal of this Standing Authority shall be sent to me/us at least 14 days prior to its expiry. If Suntek does not receive your letter of objection to the renewal of Standing Authority prior to its expiry, I/we shall be deemed to have agreed to renew the Standing Authority for a period of 12 months upon the same terms and conditions as specified in the Standing Authority.

本人/吾等明白常設授權續期通知書將於常設授權屆滿前最少十四天寄予本人/吾等。如三泰富於常設授權有效期屆滿前未有接獲本人/吾等書面反對，則本人/吾等之常設授權會在屆滿時按照常設授權的相同條款及條件視作為同意續期十二個月。

This Standing Authority may be revoked at any time by giving not less than 30 days prior written notice to Suntek.

本人/吾等有權隨時撤銷本常設授權，須給予三泰富不少於三十天書面通知。

N. ACKNOWLEDGEMENT, UNDERTAKING AND SIGNATURE 確認、承諾及簽署

We hereby acknowledged and undertook that:
吾等謹此確認及承諾：

- The information provided in this Account Opening Form is true, correct and complete, and we have not willfully withheld any material fact(s). We authorize Suntek to confirm and verify the information from any source that Suntek considered appropriate, including performing any credit checks on us. Suntek is entitled to rely fully on such information and representations for all purposes, unless Suntek receives notice in writing of any change. We confirm and undertake that we will notify Suntek in writing on any changes within 14 days.

本開戶表格中所提供的資料均屬真實、完整及準確無訛，及吾等並未刻意隱瞞任何重要事實。吾等授權三泰富可向任何三泰富認為適當的資料來源確定和查證，包括進行任何對於吾等的信貸查證。除非三泰富收到任何資料改變的收書面通知，三泰富可完全依據這些資料及陳述，作任何用途。吾等確認及承諾，如所提供之資料有任何更改，均會於十四天內以面通知三泰富。

- We have received, read and understood the terms and conditions of Client Agreement, including Personal Information Collection Statement (“the Agreements”) applicable to us. We apply to open the above Account and agree to be bound by the terms and conditions of Agreements. Suntek has the absolute right to change, amend, delete or substitute any terms and conditions of the Agreements from time to time by giving us of such notice. Such changes, amendment, deletion or substitution shall be deemed as effective and incorporated therein (and shall form part of the Agreement) on the date of publication or issue of such notice. Unless Suntek has received our request to close the Account, if we continue to use the Account, we shall be deemed to have accepted such change, amendment, deletion or substitution.

吾等已收取、閱讀及明白客戶協議書，包括個人資料收集聲明（「協議書」）的條款及細則。吾等申請開立上述帳戶，並同意及接納受協議書的條款及細則約束。三泰富有絕對酌情權不時修訂、更改、刪減或取代協議書的條款及細則，並向吾等發出通知。該修訂、更改、刪減或取代的條款及細則將於相關通知刊載之日起生效，並被視為納入本協議書內。除非三泰富收到吾等取消帳戶通知，否則表示吾等接納該更改條款及細則。

N. ACKNOWLEDGEMENT, UNDERTAKING AND SIGNATURE 確認、承諾及簽署

- We confirm that Risk Disclosure Statements as contained in the Agreements have been provided to us in the language of our choice (English or Chinese), we have been invited to read such Risk Disclosure Statements, to ask questions relating thereto and to seek any independent advice if we wish before signing this Account Opening Form. We further understand that the Risk Disclosure Statements do not purport to disclose or explain all the risks and other important aspects of trading in financial products concerned, and we have been advised not to engage in trading in financial products unless we fully understand the nature and risk of such financial products. We should carefully consider whether trading in relevant financial products are appropriate for us in light of our investment objectives, experience, risk appetite and financial resources, and we are advised to seek independent and professional advice.

吾等確認已按照吾等所選擇語言(英文或中文)獲提供協議書的風險披露聲明,且已獲邀在簽署本開戶表格前,閱讀該風險披露聲明、提出問題及徵求獨立的意見(如吾等有此意願)。吾等進一步明白該風險披露聲明並未能披露或解釋涉及金融產品交易的所有風險或其他重要事項,除非吾等完全明白所進行金融產品交易之性質及其風險程度,吾等已被建議不應進行該金融產品的交易。吾等應根據其投資目標、經驗、風險承受能力、財政資源小心考慮進行相關金融產品之交易是否適合吾等,且吾等如有疑問應尋求獨立及專業的意見。

- We acknowledge and confirm that we have carefully read and fully understood the Clause 15 of the Agreements concerning Derivative Products, especially nature and risks of Derivative Products. We further confirm and declare that Suntek's licensed representative has fully explained the Clause 15 of the Agreements to us in the plain languages of our choice. If we decide to trade Derivative Products, we shall understand the nature and risks of Derivative Products and has sufficient net worth to be able to assume the risks and bear the potential losses of trading in Derivative Products. Suntek shall not solicit or provide recommendations to a client on trading in Derivative Products if he does not have any knowledge or experience in trading in Derivative Products.

吾等承認並確認,吾等已細閱及完全明白協議書內關於衍生產品的第15條,特別是衍生產品的性質及風險。吾等進一步確認三泰富的持牌代表已按照吾等所選擇的淺白語言向吾等詳細解釋協議書的第15條。假如吾等打算買賣衍生產品,吾等應明白衍生產品的性質及風險,並有足夠的淨資產來承擔因買賣衍生產品而可能招致的風險和損失。假如客戶並沒有衍生工具產品的任何知識或經驗,三泰富將不會向客戶就衍生產品作出建議或招攬行為。

- According to the provision of Foreign Account Tax Compliance Act ("FATCA"), we give consent to Suntek to report our corporate information to the U.S. Internal Revenue Service or other relevant tax authorities in order to comply with the provisions of FATCA. We understand and acknowledge that Suntek may suffer loss or incur penalty and/or damage if the information provided in "Entity Self-Certification Form (FATCA and CRS)" is or proves to be incorrect, false or misleading when made. We agreed to indemnify Suntek on demand for such loss, penalty and/or damage. We further agree that we will notify Suntek in writing within 14 days of any change of our U.S. tax status.

根據海外帳戶稅收合規法案(「FATCA」)的條文,吾等同意三泰富將吾等的公司資料匯報予美國國家稅務局或其他有關稅務當局,以遵從FATCA的條文。吾等知道及確認,倘若所載於「實體自我證明表格(海外帳戶稅收合規法案及共同匯報標準)」是或被證明是不正確、虛假或具誤導性,三泰富可能因此蒙受損失或招致刑罰及/或損害。吾等就所有該等損失、刑罰及/或損害對三泰富作出補償。吾等同意,倘若吾等的美國稅務狀況有任何改變,吾等於十四天內以書面方式通告三泰富。

- According to the provision of Common Reporting Standard ("CRS"), "Tax Residents of Reportable Jurisdictions" refer to those who are liable to tax by reason of residence in the jurisdictions. In general, whether or not an individual is a tax resident of a jurisdiction is determined by having regard to the person's physical presence or stay in a place (e.g. whether over 183 days within a tax year). Suntek will request a self-certification and/or other relevant documentation in order to establish our tax residence for automatic exchange of account information purposes. If there is any change in circumstances that would affect our tax residence or there is a reason for Suntek to know that the self-certification is incorrect or unreliable, Suntek reserves the right to request and we have the obligation to provide a new self-certification and/or additional documentation. As an account holder, we shall be deemed to acknowledge that further information may need to be provided to Suntek. Suntek's compliance with the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112) and/or guidance may result in gathering, storing, using, and processing our information. Our information may also be disclosed to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region, which is further exchanged with tax authorities of another jurisdiction or jurisdictions in which we may be resident for tax purposes. Where we fail to provide any requested information (regardless of the consequences), Suntek reserves the right to take any action and/or pursue all remedies at its disposal including, without limitation to restrict or terminate the operation of the account. We also agree to inform Suntek in writing within 14 days upon any changes in the information provided in the "Entity Self-Certification Form (FATCA and CRS)". We understood and acknowledged that Suntek may suffer loss or incur penalty and/or damage if such information provided is or proves to be incorrect, false or misleading when made. We agreed to indemnify Suntek on demand for such loss, penalty and/or damage.

根據共同匯報標準(「CRS」)的條文,「申報稅務管轄區的稅務居民」是指該些在相關稅務管轄區因其居民身分而有繳稅責任的人。一般而言,要斷定某人是否屬一個稅務管轄區的稅務居民,會根據該人身處之地或逗留於該地的時間(例如一個課稅年度超過183天)。三泰富要求吾等提供自我證明或其他文件以揭示吾等納稅所在地,以作自動交換帳戶資料用途。如吾等因任何情況而影響吾等的納稅所在地,或令三泰富有理由相信吾等之自我證明有不正確或不可靠時,三泰富保留權利可要求吾等遞交新的自我證明及/或額外文件。作為帳戶持有人,吾等承諾及同意向三泰富提供進一步的資料。三泰富為遵守香港《稅務條例》(第112章)有關交換財務帳戶資料的法律條文及/或指引,可能導致收集、儲存、使用及處理吾等的資料。吾等的資料亦可向香港特別行政區政府稅務局披露,從而把資料轉交到吾等的居留司法管轄區的稅務當局。如果吾等未能提供任何所要求的資料,三泰富保留採取任何補救措施的權利,包括(但不限於)限制及終止帳戶的運作。吾等同意,若吾等所載於「實體自我證明表格(海外帳戶稅收合規法案及共同匯報標準)」有任何變更,會於十四天內以書面通知三泰富。吾等知道及確認,倘若該等資料是或被證明是不正確、虛假或具誤導性,三泰富可能因此蒙受損失或招致刑罰及/或損害。吾等就所有該等損失、刑罰及/或損害對三泰富作出彌償。

- We agree that Suntek may contact us via telephone or e-mail from time to time, for the purpose of improving client communication and delivering better quality customer service.

吾等同意三泰富可以不時以電話或電郵聯絡吾等,以改善客戶溝通及提供更優質客戶服務為目的。

- We understand and agree that Suntek can suspend the Account and request us to provide more information in case if there is any abnormal or suspicious activity in the Account.

吾等明白及同意,若帳戶有任何不正常或可疑活動,三泰富可以凍結帳戶並要求吾等提供更多資料。

N. ACKNOWLEDGEMENT, UNDERTAKING AND SIGNATURE 確認、承諾及簽署

- In the event of any difference in interpretation or meaning between the Chinese and the English versions, we agree that the English shall prevail. 倘若中文版本與英文版本在解釋或意義方面有任何歧義，吾等同意應以英文版本為準。

Authorized Signature(s) with Company Chop 獲授權人仕簽署及公司印章

Name of Authorized Signatory(ies) 獲授權簽署人仕姓名

Date 日期

**O. CERTIFICATION (must be completed by Suntek staff member or a Professional⁴ (please provide a name card)
核證 (由三泰富職員或專業人士⁴ (請提供名片)填寫)**

I, the undersigned, hereby certify that the date written in Section N of this Account Opening Form, the signing of the Account Opening Form and the sighting of related original supporting documents of the Client by the Client named in this Account Opening Form is executed in my presence.
本人，下列簽署人仕，謹此證實，於開戶表格中的 N 部份所寫的日期當日，本人見證本開戶表格所指明的客戶的開戶表格的簽立及有關正本證明文件驗證均在本人面前執行。

SIGNED by the witness 見證人簽署

Full Name of Witness 見證人姓名

Profession/Title with Membership No. 所屬專業/職銜及會員編號

Date 日期

**P. DECLARATION BY
SUNTEK LICENSED REPRESENTATIVE
三泰富持牌代表聲明**

I, the undersigned, hereby declare that I have (i) provided the Risk Disclosure Statements in the language of the Client's choice (English or Chinese), (ii) invited the Client to read such Risk Disclosure Statements, to ask questions and take independent advice (if the Client wishes), and (iii) fully explained the contents of Risk Disclosure Statements to the Client in the language which the Client understands.

本人，下列簽署人仕，謹此聲明，本人已按照客戶所選擇的語言（英文或中文）提供風險披露聲明；邀請客戶閱讀該風險披露聲明、提出問題及徵詢獨立意見（如客戶有此意願）；及已按照客戶所理解的語言，向客戶完全解釋風險披露聲明的內容。

SIGNED by Suntek Licensed Representative 三泰富持牌代表簽署

Full Name of Suntek Licensed Representative 三泰富持牌代表姓名

CE No. 中央編號

Date 日期

⁴ A professional included a certified financial accountant, lawyer or notary public.

專業人士包括執業會計師、律師或公證人

ACCOUNT INFORMATION

Trading Limit (HKD)	Credit Limited (HKD)	Annual Overdue Interest Rate (%)
HKD Brokerage (%)	HKD Min. Commission	HKD Commission Rebate (%)
USD Brokerage (%)	USD Min. Commission	USD Commission Rebate (%)
RMB Brokerage (%)	RMB Min. Commission	RMB Commission Rebate (%)

CHECKLIST (please put a “√” or put a “N/A” on the box)

<input type="checkbox"/> Account Opening Form (Corporate Account) <input type="checkbox"/> Entity Self-Certification Form (FATCA and CRS) <input type="checkbox"/> Self-Certification Form (Controlling Person) <input type="checkbox"/> Form W-8-BEN-E <input type="checkbox"/> Client Risk Profile Questionnaire (For Corporate Account) <input type="checkbox"/> Letter of Personal Guarantee <input type="checkbox"/> Others: _____ _____	<input type="checkbox"/> Board Resolution <input type="checkbox"/> Director’s Certification and Declaration on Ownership Chart <input type="checkbox"/> Certificate of Incorporation or equivalent document <input type="checkbox"/> Memorandum & Articles of Association or equivalent document <input type="checkbox"/> Valid Business Registration Certificate <input type="checkbox"/> Address Proof of Business Address (issued within the last 3 months) <input type="checkbox"/> Latest Annual Return <input type="checkbox"/> Latest Notification of Change and Secretary and Director (Appointment/Cessation) <input type="checkbox"/> Register of Members <input type="checkbox"/> Register of Directors <input type="checkbox"/> Certificate of Incumbency (issued with the last 6 months)	<input type="checkbox"/> The most recent financial statement <input type="checkbox"/> Proof of Bank Account as indicated in Section F <input type="checkbox"/> ID Card/Passport - ALL Authorized Persons <input type="checkbox"/> ID Card/Passport - ALL Directors <input type="checkbox"/> ID Card/Passport - Shareholders with no less than 25% of shareholdings <input type="checkbox"/> ID Card/Passport - ALL Ultimate Beneficial Owner(s) <input type="checkbox"/> ID Card/Passport - ALL person(s) ultimately benefiting from the transactions and bearing the risks of the account <input type="checkbox"/> ID Card/Passport - ALL person(s) ultimately responsible for originating instructions of the account <input type="checkbox"/> Residential Address Proof - ALL Directors (issued within the last 3 months)
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REMARK

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ACCOUNT APPROVED AND ACCEPTED BY SUNTEK

Documents checked by	Name	Signature	Date
Information input by	Name	Signature	Date
Information verified by	Name	Signature	Date
Account approved by	Name	Signature	Date