

國元證券經紀(香港)有限公司 (Hereinafter "Guoyuan" )  
 Guoyuan Securities Brokerage (Hong Kong) Limited

 國元證券(香港)有限公司全資附屬公司  
 A wholly owned subsidiary of Guoyuan Securities (Hong Kong) Limited

Account Number :

 22<sup>nd</sup> Floor, CCB Tower,  
 3 Connaught Road Central, Central,  
 Hong Kong

Telephone : (852) 3769 6828

Facsimile : (852) 3769 6999

SFC Central Entity Number : AOA594

SEHK Participant ID : 01825

FATCA GIIN : 397FZN.00001.ME.344

### MARGIN CLIENT'S SECURITIES

### ACCOUNT OPENING INFORMATION FORM CORPORATE ACCOUNT

 Due to regulatory requirement, please fill the true information (Please tick "✓" the appropriate field, # Delete whichever inapplicable)

<b>Company Information ("Client")</b>					
Company Name (English) :					
Company Name (Chinese) :					
Account Name (If different from above) :					
Business Nature :					
Place of Incorporation / Establishment# :			Date of Incorporation / Establishment # :		
Hong Kong Business Registration No.# :			Incorporation Number :		
Registered / Office Address : (Please see Appendix for the address proof requirement.)					
Correspondence Address :					
Mobile Phone Number :			Office Phone Number :		
Email address :			Facsimile Number :		
Open an Internet Trading?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Delivery of Statement :	<input type="checkbox"/> Email	<input type="checkbox"/> Correspondence Address
Do any of Client's shareholder, directors, partners, authorized person(s), the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owner(s) of the Account ("Relevant Person(s)") are entrusted with prominent public functions, such as senior political or government officials, judicial officials, military officials, senior executive of state owned corporations, important director of political party, or family members or close associates of the above-mentioned parties?				<input type="checkbox"/> No <input type="checkbox"/> Yes, please specify :	
Do any of the Client's shareholders, directors, partners, authorized person(s), the person(s) ultimately are responsible for giving instructions for the Account or the ultimate beneficial owner(s) of the Account ("Relevant Person(s)") has any relationship with the director(s) or employee(s) of Guoyuan or any of its subsidiaries?				<input type="checkbox"/> No <input type="checkbox"/> Yes, please specify :	
Do any of the Client's directors, shareholders or authorized persons, are licensed by or registered with Securities and Futures Commission or Hong Kong Monetary Authority? (If "yes", please provide employer's consent letter)				<input type="checkbox"/> No <input type="checkbox"/> Yes, please specify :	
Is the Client, licensed by or registered with Securities and Futures Commission or Hong Kong Monetary Authority?				<input type="checkbox"/> No <input type="checkbox"/> Yes, please specify :	
Your Company or Shareholder has any related account in Guoyuan?				<input type="checkbox"/> No <input type="checkbox"/> Yes, please specify :	

Paid Up Capital : \$	Source of wealth :
Annual Profit :	Source of funds :
Estimated Total Assets :	Estimated Total Liabilities :

**Receiving Bank Account (1)**

Bank Name :	<input type="checkbox"/> HKD	<input type="checkbox"/> USD	<input type="checkbox"/> RMB	<input type="checkbox"/> OTHERS _____
Bank Account Name & Number :				

**Receiving Bank Account (2)**

Bank Name :	<input type="checkbox"/> HKD	<input type="checkbox"/> USD	<input type="checkbox"/> RMB	<input type="checkbox"/> OTHERS _____
Bank Account Name & Number :				

Is this Account is the ultimate beneficial owner of the Account?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
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If "No", please provide the information :

English Name (Surname First) :		中文姓名 : (Mr./Ms.)	
Date of Birth :	Place of birth :	Nationality :	Other Nationality (If any) :
Type of ID :	ID Number : (Please attach copy)		
Residential Address :			
Mobile Phone Number :		Residential Phone Number :	
Personal email :			
Name of Employer :			
Business Nature :		Position :	
Office Address :			
			Office Phone :
Do you are entrusted with prominent public functions, such as senior political or government officials, judicial officials, military officials, senior executive of state owned corporations, important director of political party, or family members or close associates of the above-mentioned parties?			<input type="checkbox"/> No <input type="checkbox"/> Yes, please specify :
Do you are a SFC licensed or HKMA registered person? (If you are a SFC licensed or HKMA registered person, please provide consent letter from the employer.)		<input type="checkbox"/> No	<input type="checkbox"/> Yes, please provide CE number :
Do you relates to any employee or director of Guoyuan Securities (Hong Kong) Limited and it's subsidiaries?		<input type="checkbox"/> No	<input type="checkbox"/> Yes, Name : _____ Relationship : _____
Relationship to Account Holder :			

The following individuals is authorized on behalf of the Client to give written Payment Instruction:

Name	Nationality	Place of birth	ID Card/ Passport No. and issuing country	Contact Phone	Signature Specimen

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

The following individuals is authorized on behalf of the Client to give verbal or written Trading Instructions :

Name	Nationality	Place of birth	ID Card/ Passport No. and issuing country	Contact Phone	Signature Specimen

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

Specimen of Company Chop :

Investment Experience	
Equities : <input type="checkbox"/> Nil <input type="checkbox"/> Yes(___ Years)	Foreign Exchange/ Gold : <input type="checkbox"/> Nil <input type="checkbox"/> Yes(____ Years)
Bonds/Funds : <input type="checkbox"/> Nil <input type="checkbox"/> Yes(___ Years)	Other (Please specify) : _____ (____ Years)
Investment Goals	a) Investment Plan : <input type="checkbox"/> Short <input type="checkbox"/> Medium <input type="checkbox"/> Long
	b) Risk Tolerance Level : <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
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)	Did Client undergone training or attended courses that provide general knowledge of the nature and risk of derivatives? <input type="checkbox"/> Yes <input type="checkbox"/> No
(b)	Did Client currently or previously work in related to derivative products? <input type="checkbox"/> Yes <input type="checkbox"/> No
(c)	Did Client execute five or more transactions in derivative products within the past three years? <input type="checkbox"/> Yes <input type="checkbox"/> No
<i>If client do not have any of the above knowledge and experience, the client will be characterized as without knowledge of derivatives products. Before trading in derivatives products, the attention of client must be drawn to the risks associated with derivatives products, as described in "Risk Disclosure Statements --- Derivative Products".</i>	

Supporting Documents *	
Registered in Hong Kong	Registered in Overseas
1. Certificate of Incorporation ;	1. Certificate of Incorporation ;
2. Memorandum and Articles of Association ;	2. Memorandum and Articles of Association ;
3. Business Registration Certificate ;	3. Shareholder and Director List ;
4. Shareholder and Director List ;	4. Board Resolution authorizing the execution of this Account Opening Information Form, the Margin Client's Securities Agreement and the relevant documents ;
5. Latest Annual Return and subsequent form(s) filed with the Hong Kong Companies Registry ( <i>Being certified by a company registry or a professional third party ;</i>	5. ID and address proof copy of all Shareholder, Director and Authorized Person ;
6. Board Resolution authorizing the execution of this Account Opening Information Form, the Margin Client's Securities Agreement and the relevant documents ;	6. ID copy of Ultimate Beneficiaries and the residential address proof (and permanent address, if different) ;
7. ID and address proof copy of all Shareholder, Director and Authorized Person(s) ;	7. Certificate of Incumbency (issued in the last 6 months) ( <i>Being certified by a company registry or a professional third party ;</i>
8. ID copy of Ultimate Beneficiaries and the residential address proof (and permanent address, if different) ;	8. Office or Correspondence Address Proof (within the last 3 months) ;
9. 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).
10. Details of the ownership and structure control of the company (e.g. An ownership chart).	
<b>Remark: Unless specified otherwise, the above documents copy must be certified true by the professional person such as a notary public, branch manager of a FATF bank, lawyer, certified public accountant, or Justice of Peace. The above documents can also be certified by the designated staff at our Office upon presentation of the originals.</b>	

**Client Confirmation**

- 1 We confirm that the information which we provide in this **Margin Client’s Securities Account Opening Information Form** is true, correct and complete in all respects. You are entitled to rely fully on such information for all purposes, unless you receive notice in writing of any change therein.
- 2 We understand and received the terms and conditions stated in **Margin Client’s Securities Agreement** including terms under Consent To Trade Securities On Internet, Overseas Securities Trading Authorization Letter, the Content about the Foreign Account Tax Compliance Act (“FATCA”) of the United States of America, Bonds Trading Authorization Letter, Risk Disclosure Statements, Risk Disclosure Statements – Derivative Products, and Personal Information Statement (if acceptable), accept and agree to be bounded by them.
- 3 We acknowledge that we have carefully read and fully understand the content of “**Risk Disclosure Statements – Derivative Products**”. If we decide to trade the Derivatives Products, we agree to bear the risks involved. We confirm that we shall make our own risk assessment, or seek independent professional advice, and the we have sufficient net worth to be able to assume the risks and bear the potential losses before trading the Derivatives Products, we understand that Guoyuan does not encourage the clients to trade the Derivatives Products if they do not have any knowledge or experience trading to the Derivatives Products.
- 4 We acknowledge and confirm that the **Risk Disclosure Statements** were provided to us in the language of our choice.
- 5 We were invited to read the **Risk Disclosure Statements** carefully, to ask questions and take independent advice if we wish.
- 6 We understand that if the required information and the supporting documents\* are not fully completed or submitted, Guoyuan may delay the opening of the account.



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

**Self-Declaration about Foreign Account Tax Compliance Act (“FATCA”) of the United States of America matters :**

- We are **NOT** a U.S. Nationality / Permanent Resident / Other U.S. Person / or US taxpayer.
  - We are U.S. Nationality / Permanent Resident / Other U.S. Person / or US taxpayer.
- If Client are U.S. Nationality / Permanent Resident / Other U.S. Person / or US taxpayer., please provide Taxpayer Identification Number (TIN)

TIN : \_\_\_\_\_

- 1 We confirm that the information which we provide in this **FATCA Declaration** is true, correct and complete in all respects.
- 2 If there is any change in the above information, we agree that we will inform and submit a new declaration to Guoyuan (HK) within 30 days from the date of change.
- 3 Should there be any false statements or/and delay to inform Guoyuan for any changes from me, making Guoyuan sued for any damages including Guoyuan’s own asset and other assets held on behalf of it’s clients by the U.S. authorities. We are willing to undertake all the lost of Guoyuan.

Client Signature with agree and confirm :



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

To: Guoyuan Securities Brokerage (Hong Kong) Limited (“Guoyuan”)  
22/F CCB Tower, 3 Connaught Road Central, Hong Kong

Account No.:

**Self-Certification Form – Entity**

**Important Notes:**

- This is a self-certification form provided by an account holder to a reporting Guoyuan for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting Guoyuan to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- An account holder should report all changes in its tax residency status to the reporting Guoyuan.
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (\*) are required to be reported by the reporting Guoyuan to the Inland Revenue Department.

**Part 1 Identification of Entity Account Holder**

(For joint or multiple account holders, complete a separate form for each entity account holder.)

(1) Legal Name of Entity or Branch \* \_\_\_\_\_

(2) Jurisdiction of Incorporation or Organisation \_\_\_\_\_

(3) Hong Kong Business Registration Number \_\_\_\_\_

(4) Current Business Address \_\_\_\_\_

Line 1 (e.g. Suite, Floor, Building, Street, District) \_\_\_\_\_

Line 2 (City) \* \_\_\_\_\_

Line 3 (e.g. Province, State) \_\_\_\_\_

Country \* \_\_\_\_\_

Post Code/ZIP Code \_\_\_\_\_

(5) Mailing Address (Complete if different to the current business address)

Line 1 (e.g. Suite, Floor, Building, Street, District) \_\_\_\_\_

Line 2 (City) \_\_\_\_\_

Line 3 (e.g. Province, State) \_\_\_\_\_

Country \_\_\_\_\_

Post Code/ZIP Code \_\_\_\_\_

**Part 2 Entity Type**

Tick one of the appropriate boxes and provide the relevant information.

Financial Institution	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company <input type="checkbox"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity’s assets) and located in a non-participating jurisdiction
Active NFE	<input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities <input type="checkbox"/> Active NFE other than the above (Please specify _____)
Passive NFE	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction <input type="checkbox"/> NFE that is not an active NFE

**Part 3 Controlling Persons (Complete this part if the entity account holder is a passive NFE)**

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official.

Complete Form IR1457 (Self-Certification Form – Controlling Person) for each controlling person.

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

**Part 4 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) \***

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a **resident for tax purposes** and (b) the account holder’s TIN for each jurisdiction indicated. Indicate **all** (not restricted to five) jurisdictions of residence.

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

If a TIN is unavailable, provide the appropriate reason A, B or C:

- Reason A** – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
- Reason B** – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.
- Reason C** – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

Jurisdiction of Residence	TIN	Enter Reason A, B or C if no TIN is available	Explain why the account holder is unable to obtain a TIN if you have selected Reason B
(1)			
(2)			
(3)			
(4)			
(5)			

**Part 5 Declarations and Signature**

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the Guoyuan for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the Guoyuan to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

I certify that I am authorized to sign for the account holder of all the account(s) to which this form relates.

I undertake to advise Guoyuan of any change in circumstances which affects the tax residency status of the entity identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Guoyuan with a suitably updated self-certification form within 30 days of such change in circumstances.

**I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.**

Signature \_\_\_\_\_

Name \_\_\_\_\_

Capacity \_\_\_\_\_ (e.g. director or officer of a company, partner of a

Date (dd/mm/yyyy) \_\_\_\_\_ partnership, trustee of a trust etc.)

**WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self- certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).**

To : Guoyuan Securities Brokerage (Hong Kong) Limited ("Guoyuan")  
22/F CCB Tower, 3 Connaught Road Central, Hong Kong

Account Number :

### Self-Certification Form – Controlling Person

Important Notes :

- This is a self-certification form provided by a controlling person to a reporting to Guoyuan for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting Guoyuan to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- A controlling person should report all changes in his/her tax residency status reporting to Guoyuan.
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (\*) are required to be reported by the reporting to Guoyuan to the Inland Revenue Department.

#### Part 1 Identification of Controlling Person

**(1) Name of Controlling Person**

Title (e.g. Mr., Mrs., Ms., Miss)

Last Name or Surname\*

First or Given Name\*

Middle Name(s)

**(2) Hong Kong/China Identity Card or Passport Number**

**(3) Current Residence Address**

Line 1 (e.g. : Suite, Floor, Building, Street, District)

Line 2 (City)\*

Line 3 (e.g. : Province, State)

Country\*

Post Code

**(4) Mailing Address (Complete if different to the current residence address)**

Line 1 (e.g. : Suite, Floor, Building, Street, District)

Line 2 (City)

Line 3 (e.g. : Province, State)

Country

Post Code

**(5) Date of Birth\* (dd/mm/yyyy)**

**(6) Place of Birth (Not compulsory)**

Town/City

Province/State

Country



**Part 2 The Entity Account Holder(s) of which you are a controlling person**

Enter the name of the entity account holder of which you are a controlling person.

Entity	Name of the Entity Account Holder
(1)	
(2)	
(3)	

**Part 3 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)\***

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the controlling person is a **resident for tax purposes** and (b) the controlling person’s TIN for each jurisdiction indicated. Indicate **all** (not restricted to five) the jurisdictions of residence.

If the controlling person is a **tax resident of Hong Kong**, the TIN is the Hong Kong Identity Card Number.

If a TIN is unavailable, provide the appropriate reason A, B or C :

**Reason A** --- The jurisdiction where the controlling person is a resident for tax purposes does not issue TINs to its residents.

**Reason B** --- The controlling person is unable to obtain a TIN. Explain why the controlling person is unable to obtain a TIN if you have selected this reason.

**Reason C** --- TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

Jurisdiction of Residence	TIN	Enter Reason A, B, or C if no TIN is available	Explain why the controlling person is unable to obtain a TIN if you have selected Reason B
(1)			
(2)			
(3)			
(4)			
(5)			

**Part 4 Type of Controlling Person**

Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2

Type of Entity	Type of Controlling Person	Entity(1)	Entity (2)	Entity (3)
Legal Person	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control/ is entitled to exercise control through other means (i.e. not less than 25% of voting rights)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust	Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Arrangement other than Trust	Individual in a position equivalent/similar to settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/ trustee/ protector/ beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Part 5 Declarations and Signature**

I acknowledge and agree that (i) the information contained in this form is collected and may be kept by Guoyuan for the purpose of automatic exchange of financial account information, and (ii) such information and information regarding the controlling person and any reportable account(s) may be reported by Guoyuan to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with tax authorities of another jurisdiction or jurisdictions in which the controlling person may be resident for tax purposes pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap. 112).

I certify that I am the controlling person / I am authorized to sign for the controlling person # of all the account(s) held by the entity account holder(s) to which this form relates.

I undertake to advise to Guoyuan of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide to Guoyuan with a suitably updated self-certification form within 30 days of such change in circumstances.

**I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.**

Signature \_\_\_\_\_

Name \_\_\_\_\_

Capacity \_\_\_\_\_

Date (dd/mm/yyyy) \_\_\_\_\_

Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the power of attorney.)

#Delete as appropriate


**WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000)**

## Appendix: Address proof requirement

This is reference from SFC's Guideline on Anti-Money Laundering and Counter-Terrorist Financing chapter 4.8.10 (or same equivalence as outside of Hong Kong) about verify address methods.

- (a) a recent utility bill issued within the last 3 months;
- (b) recent correspondence from a Government department or agency (i.e. issued within the last 3 months);
- (c) a statement, issued by an authorized institution, a licensed corporation or an authorized insurer within the last 3 months;
- (d) a record of a visit to the residential address by the financial institute (FI);
- (e) an acknowledgement of receipt duly signed by the customer in response to a letter sent by the FI to the address provided by the customer;
- (f) a letter from an immediate family member at which the individual resides confirming that the applicant lives at that address in Hong Kong, setting out the relationship between the applicant and the immediate family member, together with evidence that the immediate family member resides at the same address (for persons such as students and housewives who are unable to provide proof of address of their own name);
- (g) mobile phone or pay TV statement (sent to the address provided by the customer) issued within the last 3 months;
- (h) a letter from a Hong Kong nursing or residential home for the elderly or disabled, which an FI is satisfied that it can place reliance on, confirming the residence of the applicant;
- (i) a letter from a Hong Kong university or college, which an FI is satisfied that it can place reliance on, that confirms residence at a stated address;
- (j) a Hong Kong tenancy agreement which has been duly stamped by the Inland Revenue Department;
- (k) a current Hong Kong domestic helper employment contract stamped by an appropriate Consulate (the name of the employer should correspond with the applicant's visa endorsement in their passport);
- (l) a letter from a Hong Kong employer together with proof of employment, which an FI is satisfied that it can place reliance on and that confirms residence at a stated address in Hong Kong;
- (m) a lawyer's confirmation of property purchase, or legal document recognising title to property; and
- (n) for non-Hong Kong residents, a government-issued photographic driving license or national identity card containing the current residential address or bank statements issued by a bank in an equivalent jurisdiction where the FI is satisfied that the address has been verified.

Supporting Documents Checklist :			
Registered in Hong Kong		Registered in Overseas	
<input type="checkbox"/>	Certificate of Incorporation ;	<input type="checkbox"/>	Certificate of Incorporation ;
<input type="checkbox"/>	Memorandum and Articles of Association ;	<input type="checkbox"/>	Memorandum and Articles of Association ;
<input type="checkbox"/>	Business Registration Certificate ;		
<input type="checkbox"/>	Latest Annual Return and subsequent form(s) filed with the Hong Kong Companies Registry ( <i>Being certified by a company registry or a professional third party ;</i>	<input type="checkbox"/>	Certificate of Incumbency (issued in the last 6 months) ( <i>Being certified by a company registry or a professional third party ;</i>
<input type="checkbox"/>	Shareholder and Director List ;	<input type="checkbox"/>	Shareholder and Director List ;
<input type="checkbox"/>	Board Resolution authorizing the execution of this Account Opening Information Form, the Margin Client's Securities Agreement and the relevant documents ;	<input type="checkbox"/>	Board Resolution authorizing the execution of this Account Opening Information Form, the Margin Client's Securities Agreement and the relevant documents ;
<input type="checkbox"/>	ID and address proof copy of all Shareholder, Director and Authorized Person ;	<input type="checkbox"/>	ID and address proof copy of all Shareholder, Director and Authorized Person ;
<input type="checkbox"/>	ID copy of Ultimate Beneficiaries and the residential address proof (and permanent address, if different) ;	<input type="checkbox"/>	ID copy of Ultimate Beneficiaries and the residential address proof (and permanent address, if different) ;
<input type="checkbox"/>	Office or Correspondence Address Proof (within the last 3 months) ;	<input type="checkbox"/>	Office or Correspondence Address Proof (within the last 3 months) ;
<input type="checkbox"/>	Details of the ownership and structure control of the company (e.g. An ownership chart) ;	<input type="checkbox"/>	Details of the ownership and structure control of the company (e.g. An ownership chart) ;
<input type="checkbox"/>	Letter of Authority ;	<input type="checkbox"/>	Letter of Authority ;
<input type="checkbox"/>	Letter of Guarantee ;	<input type="checkbox"/>	Letter of Guarantee ;
<input type="checkbox"/>	Receiving Bank Account (if applicable) ;	<input type="checkbox"/>	Receiving Bank Account (if applicable) ;
<input type="checkbox"/>	Form W-8BEN-E (if applicable) ;	<input type="checkbox"/>	Form W-8BEN-E (if applicable) ;
<input type="checkbox"/>	Recent proof of income/asset (if applicable) ;	<input type="checkbox"/>	Recent proof of income/asset (if applicable) ;
<input type="checkbox"/>	Recent 3 month's transaction record (if applicable).	<input type="checkbox"/>	Recent 3 month's transaction record (if applicable).

Witness (Completed by Guoyuan specify appointed person or the professional person)#	
I hereby witness the signature(s) of the Client with the original ID card/passport and address proof.	
	
_____	_____
Signature by Witness	Date
Print Name :	
Professional /Capacity :	
Name of Employer :	Telephone :
# Professional Person can be the notary public/ branch manager of a FATF bank/ lawyer/ certified public account/ Justice of Peace.	

**Declaration by the licensed representative of Guoyuan Securities Brokerage (Hong Kong) Limited**

I, undersigned and 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

\_\_\_\_\_  
Signature by Licensed Representative

\_\_\_\_\_  
Date

Name of Licensed Representative :

SFC CE Number :

**Inspection by Compliance Supervisor of Guoyuan Securities Brokerage (Hong Kong) Limited**

I undersign and declare that according to client's provided information, with the witness person certified true copy the original ID card/ passport and address proof, and Declaration by the licensed representative of Guoyuan Securities Brokerage (Hong Kong) Limited, has done multi-task of compliance inspection.

\_\_\_\_\_  
Signature by Compliance Supervisor

\_\_\_\_\_  
Date

Name of Compliance Supervisor :

**Acknowledge and Accept by Responsible Officer, For and on behalf of Guoyuan Securities Brokerage (Hong Kong) Limited**

\_\_\_\_\_  
Signature by Responsible Officer

\_\_\_\_\_  
Date

Name of Responsible Officer :

## BOARD RESOLUTIONS

We hereby certify that the following resolutions have been passed by the board of directors (“Board”) of \_\_\_\_\_ (“Company”) at a meeting of the Board duly convened and held at \_\_\_\_\_ (Location) on \_\_\_\_\_ (Date & Time) at which a quorum was present and acted throughout in accordance with the following resolutions have been duly passed in accordance with the constitution of the Company and have been duly recorded in the minute book of the Company and that no action have been taken to rescind or amend the said resolutions and that the same are now in full force and effect.

**IT WAS RESOLVED THAT:**

- 1) a securities trading **Margin** account trading account\* (“Account”) be opened and maintained in the name of the Company with Guoyuan Securities Brokerage (Hong Kong) Limited (“GYSB”) for the purpose of holding funds relating to any purchases, sales, holdings and other dealings in securities as the Company may instruct GYSB as its agent to effect from time to time on behalf of the Company and that the Account be maintained and all such purchases, sales, holdings and other dealings be effected subject to and in accordance with the provisions of terms and conditions stated therein the Agreement for Securities trading Account (“Agreement”) to be issued by GYSB to the Company in connection with the opening of the Account; and
- 2) the Account Opening Information Form and the Agreement (collectively, the “Account Opening Documents”) in such form as completed and produced to the meeting be and are hereby approved and any \_\_\_\_\_ director(s) / authorized person\* of the Company be authorized to sign any of the Account Opening Documents for and on behalf of the Company and the signed originals thereof be delivered to GYSB.
- 3) The Company authorize any of the following individual(s)(the “Authorized Persons”) to give oral and/or written instruction(s) to GYSB in relation to (i) the operation of the account(s) maintained by the Company with GYSB and (ii) to effect purchases, sales, holdings and other dealings in securities. Any instruction(s) given by the Authorized Persons shall be absolutely binding on the Company. GYSB shall have no obligation whatsoever to inquire about or confirm the authority of the Authorized Persons in giving any instructions. The Company accept full responsibility for all oral and/or written instruction(s) given by the Authorized Persons on the Company’s behalf.”

Specimen signature(s) to effect securities transactions:
Name : Title : Authorized Signature :
Name : Title : Authorized Signature :
Name : Title : Authorized Signature :
Name : Title : Authorized Signature :
Signing authority Any _____ of the above may sign and effect securities transaction(s).

Specimen signature(s) for 1) account Opening and / or 2) to effect payment, withdrawal and/or fund transfer transactions*:
Name : Title : Authorized Signature :
Name : Title : Authorized Signature :
Name : Title : Authorized Signature :
Name : Title : Authorized Signature :
Signing authority Any _____ of the above may sign and effect payment withdrawal and/or fund transfer transaction(s).

Duly authorized for and on behalf of

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

\*Delete if inapplicable

**GUARANTEE** (only for Corporate Client)

**Warning Notice to the Guarantor(s)**

1. The Client (as defined below) has applied to utilize the securities and/or futures trading services and related services rendered by Guoyuan Securities Brokerage (Hong Kong) Limited (“GYSB”) on the security of the Guarantee to be executed by the undersigned Guarantor.
2. Guarantor’s liability under the Guarantee will be unlimited, if he/she/they decide to go on with the transaction and sign and execute the Guarantee.
3. Guarantors are recommended to instruct his/her/their own professional advisers (including lawyer) who will be able at every stage of the transaction to protect your interests and to give you independent professional (including legal) advice.

To: Guoyuan Securities Brokerage (Hong Kong) Limited

In consideration of your agreeing to provide or continue to provide to \_\_\_\_\_

\_\_\_\_\_ (name of the Client)

of \_\_\_\_\_

\_\_\_\_\_ (address of the Client)

(the “Client”) securities and/or futures trading and related services pursuant to an agreement between you and the Client as amended from time to time (the “Agreement”) (receipt of a copy whereof is hereby acknowledged), the undersigned hereby agrees as follows :

**1. Unlimited Guarantee and Indemnity**

- 1.1 I/We, the Guarantor(s) (see Schedule 1 below for particulars of the Guarantor(s)), hereby unconditionally and irrevocably guarantee to you that, if for any reason the Client does not pay any sum due and payable by it under the Agreement, including without limitation all interests, expenses, costs and losses payable thereunder, I/we as primary obligor will pay to you that sum on demand by you provided you shall not be under any obligation, whether to me/us, the Client or otherwise, to make any such demand or to make such demand at any particular time.
- 1.2 As between me/us and you but without affecting the Client's obligations, I/we shall be liable under this Guarantee as if I/we were the sole principal debtor and not merely a surety. I/We agree to pay you such sum as may be demanded by you whether or not you have demanded the Client for payment. Accordingly, I/we shall not be discharged, nor shall my/our liability be affected, by anything which would not discharge me/us or affect my/our liability if I/we were the sole principal debtor including without limitation:
  - (a) any time, indulgence, concession, waiver or consent at any time given to the Client or any other person;
  - (b) any amendment to the Agreement;
  - (c) the making or failure or delay to make any demand on the Client or any other person for payment;
  - (d) the enforcement or failure or delay to enforce the Agreement or this Guarantee;
  - (e) the taking, existence or release of any security interest or other guarantee;
  - (f) the winding-up, dissolution, death, insanity, incapacity or any change in the name, style or constitution or bankruptcy of the Client or any other person, or any step being taken for any such winding-up, dissolution or bankruptcy; or
  - (g) the illegality, invalidity or unenforceability of, or any defect in, any provision of this Guarantee or the Agreement or any of the obligations of any of the parties under or in connection with this Guarantee or the Agreement.
- 1.3 My/Our obligations under this Guarantee are and will remain in full force and effect by way of continuing security until no sum remains to be paid under the Agreement and you have irrevocably received or recovered all sums payable under the Agreement. Furthermore, those of my/our obligations are additional to any other right which you may possess and may be enforced without first having recourse to the Client, any other person or any other security interest. I/We irrevocably waive all notices and (except as required by the above Clause 1.1) demands of any kind.
- 1.4 I/We shall on demand indemnify you against any funding or other cost, loss, expense or liability sustained or incurred by you as a result of being required for any reason (including any bankruptcy, insolvency, winding-up or similar law of any jurisdiction) to refund all or part of any amount received or recovered by you in respect of any sum payable by the Client under the Agreement and shall in any event pay to you on demand the amount so refunded by you.
- 1.5 As separate, independent and alternative stipulations, I/we unconditionally and irrevocably agree that any sum which, although expressed to be payable by the Client under the Agreement, is for any reason (whether or not now existing and whether or not now known or becoming known to any party to the Agreement) not recoverable from me/us on the basis of a guarantee shall nevertheless be recoverable from me/us as if I/we were the sole principal debtor and shall be paid by me/us to you on demand.
- 1.6 This Guarantee shall be binding on and enforceable against me/us and my/our executors, administrators, legal representatives,

successors and assigns until the expiration of three months after your receipt of a written notice to determine this Guarantee served by me/us. Any such notice shall not release me/us in respect of liabilities existing before the expiration of the said notice.

## **2. Representations and Warranties**

**I/We represent and warrant to you and for your benefit as follows:**

- 2.1 I/We have the power to enter into, exercise my/our rights and perform and comply with my/our obligations under this Guarantee.
- 2.2 All actions, conditions and things required to be taken, fulfilled and done (including the obtaining of any necessary consents) in order to enable or ensure the following have been taken, fulfilled or done:
  - (a) I/we lawfully enter into, exercise my/our rights and perform and comply with my/our obligations under this Guarantee,
  - (b) that those obligations are valid, legally binding and enforceable, and
  - (c) that those obligations rank and will at all times rank at least equally and rateably in all respects with all my/our other unsecured indebtedness except for such unsecured indebtedness as would, by virtue only of the operation of law, be preferred in the event of my/our winding-up, dissolution or bankruptcy.
- 2.3 My/Our execution and performance of or compliance with my/our obligations under this Guarantee do not and will not violate or exceed any restriction granted or imposed by any law to which I am/we are subject or my/our constitutional documents, or result in the existence of, or oblige me/us to create, any security over my/our assets.
- 2.4 Each of the representations and warranties in this Clause 2 will be correct and complied with in all respects so long as any sum remains payable under the Agreement as if repeated then by reference to the then existing circumstances.

## **3. Interest**

I/We will pay interest to you, at the rate of interest applicable under the Agreement to overdue sums, on all sums demanded under this Guarantee from the date of your demand or, if earlier, the date on which the relevant damages, losses, costs, liabilities or expenses arose in respect of which such demand has been made until the date of receipt of such sums by you (both before and after judgment) at such rate of interest applicable under the Agreement to overdue sums.

## **4. Payments**

- 4.1 All sums payable by me/us under this Guarantee shall be paid free of any restriction or condition and free and clear of and (except to the extent required by law) without any deduction or withholding, whether for or on account of tax, by way of set-off or otherwise and any payment made shall be grossed up as necessary to achieve the same.
- 4.2 On each date on which any sum is due from me/us, I/we shall make available to you, by payment in Hong Kong dollars or, at your election, in the currency in which the relevant sum would otherwise be payable under the Agreement. Payment shall be made in immediately available funds to such account as you may specify.

## **5. Set-off**

In addition to any general lien or similar right to which you may be entitled at law, you may, at any time and without prior notice, set off or transfer any monies standing to the credit of my/our account with you or any member of your group of whatever description and in whatever currency and whether held singly or jointly with others towards discharge of all my/our liabilities to you or any member of your group whether such liabilities be primary, collateral, several, joint or in other currencies. Insofar as any of the liabilities to you or any member of your group are contingent or future, your liability to me/us to make payment of any sums standing to the credit of any such accounts will to the extent necessary to cover such sums be suspended until the happening of the contingency or future event. For the purpose of this Clause, a company is a member of your group if it is directly or indirectly controlling, controlled by or under common control with you.

## **6. Assignment**

- 6.1 I/We may not assign or transfer all or any of my/our rights or obligations under this Guarantee.
- 6.2 You may assign or transfer all or part of your rights, benefits and obligations hereunder to such person(s) and disclose to a potential transferee or any other person proposing to enter into contractual arrangements with you in relation to this Guarantee such information about me/us as you may at your absolute discretion think fit.

## **7. Miscellaneous**

- 7.1 Failure or delay in exercising any rights, power or privilege by you in respect of this Guarantee shall not operate as a waiver, nor shall a single or partial exercise, enforcement or waiver of any such rights, power or privilege preclude you from further



exercise, enforcement, or the exercise or enforcement of any other right, power of privilege hereunder.

- 7.2 The rights and remedies provided in this Guarantee are cumulative and not exclusive of any other rights or remedies (whether provided by law or otherwise).
- 7.3 If I/we consist of more than one person, then the liabilities of each such person hereunder shall be joint and several. Any notice, payment or delivery by you to either or any one of such persons shall be a full and sufficient discharge of your obligations to notify, pay or deliver under this Guarantee.
- 7.4 In the event of this Guarantee being determined for any reason whatsoever you may open and continue a new or separate account with the Client in your books and if you do not in fact open such new or separate account you shall nevertheless be deemed to have done so at the time this Guarantee is determined and as from and after that time all payments in account made by the Client to you shall (notwithstanding any legal or equitable rule or presumption to the contrary) be placed or deemed to have been placed to the credit of the new or separate account so opened or deemed to have been opened as aforesaid and shall not go in reduction of the amount secured by this Guarantee at the time this Guarantee is determined provided always that nothing contained in this clause shall prejudice the security which you otherwise would have had hereunder for the payment of the moneys hereby guaranteed.
- 7.5 You are entitled to retain this Guarantee for such period as you deem fit after all the amounts secured by this Guarantee have been fully discharged.
- 7.6 In the event of any discrepancy between the English and the Chinese version of this Guarantee, the English version shall prevail.

## **8. Communication**

- 8.1 Each communication under this Guarantee shall be made by fax or otherwise in writing to the fax number or address last known to the party making the communication.
- 8.2 Any communication or notice from me/us shall be irrevocable and shall not be effective until received by you. Any communication or notice from you to me/us shall be conclusively deemed to be received by me/us.

## **9. Partial Invalidity**

The illegality, invalidity or unenforceability of any provision of this Guarantee under the law of any jurisdiction shall not affect its legality, validity or enforceability under the law of any other jurisdiction nor the legality, validity or enforceability of any other provision.

## **10. Personal Data**

I/We have read and understood your Notice to Clients relating to the Personal Data (Privacy) Ordinance and agree that my/our personal data held by you may be used for the purposes and disclosed to such classes of persons as stated therein (as amended from time to time).

## **11. Governing Law**

This Guarantee shall be governed and construed by the laws of the Hong Kong Special Administrative Region of the People's Republic of China. I/We hereby submit to the non-exclusive jurisdiction of the courts of the Hong Kong Special Administrative Region of the People's Republic of China.

**SCHEDULE 1 : PARTICULARS OF THE GUARANTOR(S)**

Name of Guarantor : \_\_\_\_\_

ID / Passport / CI / BR No. : \_\_\_\_\_

(please attached the copy of certificate)

Telephone No. / Fax No.: \_\_\_\_\_

Residential/Registered Address: \_\_\_\_\_

DATED this \_\_\_\_\_ day of \_\_\_\_\_

**(For individual guarantor(s) only)**

Guarantor Name )  
)

\_\_\_\_\_  
Guarantor's Signature

Witness Name: )  
ID / Passport No.: )  
Address: )

\_\_\_\_\_  
Witness's Signature

**(For corporate guarantor only)**

SEALED with the Common Seal )  
of and SIGNED by )

\_\_\_\_\_  
Guarantor's Signature

Witness Name: )  
ID / Passport No.: )  
Address: )

\_\_\_\_\_  
Witness's Signature

## 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 and Securities and Futures (Client Securities) Rules as amended from time to time.

### Client Securities Standing Authority

The Client Securities Standing Authority covers all securities purchased or held by 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 Stock Exchange members. Any borrowing or lending must be in accordance with Stock Exchange regulations; and
- (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.

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

The Client Securities 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 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 Client Securities 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 Client Securities 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 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 Client Securities Standing Authority is soon to expire, and if the Client has not opposed to the renewal of this letter, the Client Securities Standing Authority should be deemed to have been renewed on a continuing basis without the Client's consent.

The Client Securities 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.

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



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Signature of Director / Authorized Person (With Company's Chop)

Date: