

ACCOUNT OPENING FORM – Licensed Financial Institution

Name of Client : _____

Name in Chinese (if applicable) : _____

Business Address : _____

Mailing Address (if different from the above address) : _____

Certificate of Incorporation No.: _____ Business Registration No.: _____

Office Tel No. : _____ Office Fax No. : _____

E-mail Address : _____

Mailing Address : ☐ Mailing address ☐ Business address ☐ Email address

Name of contact : _____ Tel No. : _____

Contact Person's E-mail Address : _____

Global Intermediary Identification Number (GIIN)(if any) : _____

AUTHORIZED PERSONS (Persons authorized to deal with the account)

➔ Any _____ of the following Authorized Person(s) for signing documents and operating the funds and assets

Name	ID Card/Passport No.	Email & Contact No.	Specimen Signature

➔ Any _____ of the following Authorized Person(s) for giving instructions in trading

Name	ID Card/Passport No.	Email & Contact No.	Specimen Signature

Applicant's Bank Details 銀行資料			
Banker's Name 銀行名稱: _____	☐ HKD 港幣	☐ RMB 人民幣	☐ USD 美元
A/C No. 帳戶號碼: _____			
Banker's Name 銀行名稱: _____	☐ HKD 港幣	☐ RMB 人民幣	☐ USD 美元
A/C No. 帳戶號碼: _____			

STANDING SETTLEMENT INSTRUCTIONS

The attached Standing Settlement Instructions (**Form PI5**, or a client-prepared equivalent thereof) is incorporated by reference into this document, and is effective from the date of execution of this document by the client until changed or cancelled by the client in writing is received by Bowlea Securities Limited.

OTHER INFORMATION

Client is regulated by : (e.g. HKSF, CSRC, FSA, CIMA etc.)
Client is referred by :

Client's Declaration

I/We warrant that the information contained in this Account Opening Form and the supporting documents provided by me/us as set out in Supplementary Notes below are true, complete and correct in all aspects and authorize Bowlea Securities Limited and (collectively known as "BSL") to verify it with any source that it may deem necessary.

I/We agree to be treated by BSL as an Institutional Professional Investor in particular products or markets you approved (if applicable) agree to be treated as such:

1. I/We undertake that I/we shall inform BSL forthwith if there is any material change to the information (including the supporting documents) herein provided.
2. I/We agree that BSL has the full discretion at any time not to treat me/us as a professional investor.

Signature(s) : _____ Date : _____
 (Authorized Signature with company chop)

Name of Authorized Person(s): _____ Title : _____

All the following required supporting documents are incorporated by reference to this document. Copies may be certified as true by a lawyer, notary or public accountant in your jurisdiction providing name, address, telephone and the relevant licence no. on the certified copy, or by a Responsible Officer of the SFC licensed company or by a licensed representative of BSL.

- ☐ Certified true copy(ies) of Personal Identification Documents Copy(ies) for, director(s), the authorized signatory and the authorized person(s) to sign documents, give instructions for the movement of funds or assets or place trading order on behalf of the company; **and/or** A confirmation letter issued by the RO or Head of Compliance confirming the identity and authority of the directors and/or authorized persons.
- ☐ **Form PI2** : Certified true copies of Board Resolution(s) authorising the opening of securities account; execution of the account opening documents; specifying authorized personnel(s) to sign Documents, give instructions for the movement of funds or assets or place trading order on behalf of the company;
- ☐ **Form PI3** : Anti-Money Laundering Questionnaire **or** Wolfsberg standard
- ☐ **Form PI4** : Self-Certification Form-Entity
- ☐ **Form PI5** : Standing Settlement Instruction.
- ☐ **Form PI6a** W-8BEN-E / or **Form PI6b** W-8IMY
- ☐ AML Letter
- ☐ Certified true copy for Annual Return-NAR1 and ND2B/NR1 (if applicable).
- ☐ Certified true copy for Valid Business Registration.
- ☐ Certified true copy for the SFC licence.

Additional documents for Institutional PI (for internal use only)

Proof of document for regulated institution;

BSL reserves the right to request for other additional documentary proof for the account opening of the Client, and the opening of the accounts is subject to the sole discretion of BSL and / or BSL.

For official use

Acknowledge and accepted by the authorized signatory for and on behalf of **Bowlea Securities Limited**

A/C opening date : _____

Account number : _____

Account name : _____

Documentation checked by : _____

(Name : _____)

Approved by : _____

(Name : _____)

A.E name / code : _____

How Long known to A.E : _____