

ACCOUNT OPENING FORM – INSTITUTIONAL PROFESSIONAL INVESTOR

開戶申請表 - 機構專業投資者

Name of Client 客戶名稱 (英文): _____

Name in Chinese 客戶名稱 (中文) (if applicable): _____

Nature of Business:

業務性質: _____

Country of Incorporation:

註冊國家: _____

Certificate of Incorporation No.:

公司註冊證號碼: _____

Business Address:

營業地址: _____

Correspondence Address 通訊地址: (if different from the above address) : v

Office Tel No. 公司電話號碼: _____ Office Fax No. 傳真號碼: _____

E-mail Address 電郵地址: _____

Mailing Address for Receiving Statement of Account Purpose 通訊地址以收取結單之用:

☐ Correspondence address 通訊地址 ☐ Business address 營業地址 ☐ Email address 電郵地址

Name of contact 聯絡人資料(1): _____ Tel No. 聯絡電話: _____

Name of contact 聯絡人資料(2): _____ Tel No. 聯絡電話: _____

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

For all clients (Please tick ✓ the appropriate box) 對於所有客戶 (請勾選相應的框)	Account Opening Date: _____ (fill in by BSL) (由保利 填寫)
Language preference 語言選擇	Account Type
☐ English 英文 ☐ Chinese 中文	☐ House Account 自營 ☐ Client Account 客戶帳戶

Source of Funds 資金來源

Institutional PI:	☐ Business income/ profit 業務收入/利潤 ☐ Sale of Property/ Asset 資產出售 ☐ Others 其他 (Please specify 請具體說明: _____)
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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: _____

Particular of Directors of the Company 董事資料

Director(s) Name 董事名稱	ID Card / Passport / CI No. 身份證/護照/註冊證書號碼	Nationality/ Country of Incorporation 國籍/註冊國家	Contact No. 聯絡電話

Types of Institutional Professional Investor 機構專業投資者類別

I/We hereby confirm that I am/we are 本人 /吾等確認並同意是

Institutional Professional Investors 機構專業投資者; or

☐	Exchange company / clearing house/automated trading services provider 交易所/結算所/自動化交易服務提供者
☐	Intermediary or investment services provider regulated outside Hong Kong 中介人或受香港以外地方規管的投資服務提供者
☐	Authorized financial institution / bank regulated outside Hong Kong 經認可的財務機構 / 受香港以外地方規管的銀行
☐	Authorized / regulated insurance company 經認可 / 受規管的保險公司

☐	Authorized / regulated collective investment scheme or sponsoring person 經認可 / 受規管的集體投資計劃或其營辦人
☐	Registered retirement scheme / constituent fund / approved trustee / service provider regulated under the Mandatory Provident Fund Schemes Ordinance / investment manager of the registered retirement scheme or constituent fund regulated under the Mandatory Provident Fund Schemes Ordinance 經註冊的退休計劃 / 成分基金 / 經核准的受託人 / 受《強制性公積金計劃條例》規管的服務提供者 / 屬經註冊的退休計劃或成份基金投資經理
☐	Registered occupational retirement scheme / regulated offshore scheme under the law of the place in which it is domiciled, is permitted to be operated under the law of such place / its administrator defined under the Occupational Retirement Schemes Ordinance 經註冊的職業退休計劃 / 根據香港以外地方的法律成立並獲准許營辦的離岸計劃 / 該計劃屬《職業退休計劃條例》界定的管理人的
☐	Government (other than municipal government) / central bank / multilateral agency 政府(市政府除外) / 中央銀行 / 多邊機構
☐	(i) Wholly owned subsidiary of an intermediary / authorized financial institution / bank or investment services provider regulated outside Hong Kong 中介人 / 認可財務機構 / 受香港以外地方規管的銀行或投資服務提供者的全資附屬公司 (ii) Holding Company which wholly owns an intermediary / authorized financial institution / bank or Investment services provider regulated outside Hong Kong 中介人 / 認可財務機構 / 受香港以外地方規管的銀行或投資服務提供者的全資擁有控股公司 (iii) Other wholly owned subsidiary of a holding company referred in (ii) 第(ii)項提述的控股公司的其他全資附屬公司

AUTHORIZED PERSONS (Persons authorized to deal with the account)

授權人士 (授權代表公司操作有關帳戶)

- Any ____ of the following Authorized Person(s) for signing documents and operating the funds and assets
以下任何____位授權人士簽署均可代表公司對帳戶進行資金/股票存入或提取，發出結算指示和其他帳戶有關指示

Name 授權人姓名	ID/Passport No. 身份證/護照號碼	Email & Contact No. 電子郵件和聯繫電話	Specimen Signature 簽字樣本

- Any ____ of the following Authorized Person(s) for giving instructions in trading
以下任何____位授權人士簽署均可代表公司對帳戶買賣發出的指示

Name 授權人姓名	ID/Passport No. 身份證/護照號碼	Email & Contact No. 電子郵件和聯繫電話	Specimen Signature 簽字樣本

Information of Governing Regulator (Applicable to Financial Institution)**監管機構資料 (適用於金融機構客戶)**

Client is regulated by 受監管的機構名稱 :

(e.g. HKSF, CSRC, FSA, CIMA etc.)

Jurisdiction of Regulator:

監管機構所在地:

Client's Declaration 客戶聲明

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.

我/我們保證本開戶表格所載的資料及提供的證明文件在各方面均為真實、完整及正確, 並授權保利證券有限公司 (統稱被稱為 "保利"), 以驗證它與任何來源, 它可能認為必要的。

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:

我們同意被 保利 視為機構專業投資者, 在您認可 (如果適用) 同意被視為機構專業投資者的特定產品或市場中, 我們同意將其視為機構專業投資者:

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.

我/我們承諾, 如果本人提供的資訊 (包括證明文件) 有任何重大變化, 我/我們將立即通知保利。

2. I/We agree that BSL has the full discretion at any time not to treat me/us as a professional investor.

我/我們同意保利在任何時候都有充分的自由裁量權, 不將我/我們視為專業投資者。

Signature 簽字 : _____ Date 日期: _____

(Authorised Signature(s) with company chop)

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

授權人員姓名

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 licensed representative of Bowlea.

以下所有必需的證明文件(機構帳戶開戶所需文件清單列表) 均通過 在您司法轄區的律師, 公證人或會計師可以將副本證明為真實, 提供姓名, 地址, 電話和相關許可證號碼。在認證副本上, 或由保利的許可代表。

- ☐ 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.
經認證的個人身份證明文件副本: 董事、授權簽字人和被授權人簽署文件、就資金或資產的流動發出指示或下達交易指令的個人 (代表公司)
- ☐ **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;
授權開立證券帳戶的董事會決議的核證真實副本; 開戶文件的執行; 指定授權人員代表公司簽署文件、指示資金或資產的流動或下達交易指令
- ☐ **Form PI3** : Anti-Money Laundering Questionnaire 反洗錢問卷
- ☐ **Form PI4** : Self-Certification Form-Entity 自我證明表格-實體
- ☐ **Form PI5** : W-8BEN-E (House Account 公司戶口) / W-8IMY (Client Account 客戶戶口)
- ☐ **Form PI6** : Risk Profiling Questionnaire 風險分析問卷
- ☐ **Form PI7** : Professional Investor Notice & Assessment Form 專業投資者通知及評估表

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.

保利保留要求其他額外文件證明的權利, 開戶由保利和/或保利全權決定。

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 : _____	