

Please complete sections 1-9 of this application form using block capitals where applicable and provide required documents as listed in section 10.

Please note that we are unable to onboard U.S. Persons or current residents of the United States (see Note 1, page 15) and we are unable to accept Authorised Persons who reside in United Kingdom or the European Union.

1 Company details

Company name (legal entity name)

Company name in Chinese (if applicable)

Nature of entity

Date of incorporation

Place of incorporation

Corporate phone number

(including country and area code)

Mobile phone number

(including country and area code, for receiving verification code)

Email address (for primary login)

Nature of business

Registered address in place of incorporation

Correspondence address

☐ Same as registered address

If different, please state correspondence address here and reason why correspondence address differs from the registered address

2 Source of wealth and source of funds

Source of wealth (select all that apply)

- ☐ Business income
- ☐ Sale of investments
- ☐ Injection of capital
- ☐ Bank loan
- ☐ Other (please specify) _____

Are you planning to use different sources of funds for your investments?

☐ Yes ☐ No

If different, please provide information on your source of funds for your investments (select all that apply)

- ☐ Business income
- ☐ Sale of investments
- ☐ Injection of capital
- ☐ Bank loan
- ☐ Other (please specify) _____

If the company is an operating company, please provide information on key financial indicators of latest fiscal year:

Country of Major Operations _____

Annual Business Turnover _____

Net Profit _____

Asset Size _____

Other (please specify) _____

3 Account applicant's corporate disclosure

Please provide information on all directors / partners:

Director 1

Full name _____

Nationality _____ Contact phone number _____

Residential/registered address _____

Relationship to account applicant _____ ID number
☐ HKID _____ ☐ Passport no _____

Director 2

Full name _____

Nationality _____ Contact phone number _____

Residential/registered address _____

Relationship to account applicant _____ ID number
☐ HKID _____ ☐ Passport no _____

Director 3

Full name _____

Nationality _____ Contact phone number _____

Residential/registered address _____

Relationship to account applicant _____ ID number
☐ HKID _____ ☐ Passport no _____☐ There are additional directors to be filled

Additional directors can be added on page 17

4 Account applicant's shareholding structure / Declaration of beneficial owner

Please provide information on all beneficial owners (natural or legal persons):

See Note 2 (page 16) for definition of beneficial owner

1

Full name or legal entity name _____

Nationality or place of incorporation _____

Shareholding _____

%

ID number

☐ HKID

☐

Passport no

☐Company
registered no

Residential/registered address

Source of wealth (select all that apply)

Natural persons

☐ Employment☐ Dividend Income☐ Inheritance/Gift☐ Sale of Investment☐ Other (please specify) _____

Legal persons

☐ Business income☐ Sale of investments☐ Injection of capital☐ Bank loan☐ Other (please specify) _____

Are you planning to use different sources of funds for your investments?

☐ Yes☐ No

If different, please provide information on your source of funds for your investments (select all that apply)

Natural persons

☐ Employment☐ Dividend Income☐ Inheritance/Gift☐ Sale of Investment☐ Other (please specify) _____

Legal persons

☐ Business income☐ Sale of investments☐ Injection of capital☐ Bank loan☐ Other (please specify) _____

- 1 Is the beneficial owner a licensed representative/registered intermediary of a licensed corporation/registered institution or in a position subject to investment restrictions by his/her employer? ☐ Yes ☐ No

Only applicable if answered "Yes" above
Please state job title and company name here.

Job title _____ Company name _____

You will have to provide consent letter in Section 10 (14).

- 2 Full name or legal entity name _____

Nationality or place of incorporation _____ Shareholding _____ %

ID number

☐ HKID _____ ☐ Passport no _____ ☐ Company registered no _____

Residential/registered address

Source of wealth (select all that apply)

Natural persons

- ☐ Employment
☐ Dividend Income
☐ Inheritance/Gift
☐ Sale of Investment
☐ Other (please specify) _____

Legal persons

- ☐ Business income
☐ Sale of investments
☐ Injection of capital
☐ Bank loan
☐ Other (please specify) _____

2

Are you planning to use different sources of funds for your investments?

☐

Yes

☐

No

If different, please provide information on your source of funds for your investments (select all that apply)

Natural persons

☐ Employment☐ Dividend Income☐ Inheritance/Gift☐ Sale of Investment☐ Other (please specify) _____

Legal persons

☐ Business income☐ Sale of investments☐ Injection of capital☐ Bank loan☐ Other (please specify) _____

Is the beneficial owner a licensed representative/registered intermediary of a licensed corporation/registered institution or in a position subject to investment restrictions by his/her employer?

☐

Yes

☐

No

Only applicable if answered "Yes" above

Please state job title and company name here.

Job title _____

Company name _____

You will have to provide consent letter in Section 10 (14).

☐ There are additional beneficial owners to be filled

Additional beneficial owners can be added on page 18

PEP declaration

Is the account applicant or any of its relevant persons (director(s), substantial shareholders, beneficial owner(s), authorised person(s)) and/or the relevant person's spouse, partners, children (or their spouses/partners), parents or close associates a Politically Exposed Person (PEP)? – See Note 3 (page 16).

☐ Yes ☐ No

Name	Relationship to account applicant	PEP position	Employer / Country

Is the account applicant the ultimate beneficiary of the account?

☐ Yes ☐ No

(Where you have selected “No”, please state name of ultimate beneficiary of the account and provide relevant details below)

Full name or legal name _____

Nationality or place of incorporation _____ Shareholding

%

Residential/registered address _____

ID number

☐ HKID ☐ Passport no ☐ Company registered no

Source of wealth (select all that apply)

Natural persons

- ☐ Employment
- ☐ Dividend Income
- ☐ Inheritance/Gift
- ☐ Sale of Investment
- ☐ Other (please specify)

Legal persons

- ☐ Business income
- ☐ Sale of investments
- ☐ Injection of capital
- ☐ Bank loan
- ☐ Other (please specify)

Are you planning to use different sources of funds for your investments?

☐ Yes ☐ No

If different, please provide information on your source of funds for your investments (select all that apply)

Natural persons

- ☐ Employment
- ☐ Dividend Income
- ☐ Inheritance/Gift
- ☐ Sale of Investment
- ☐ Other (please specify)

Legal persons

- ☐ Business income
- ☐ Sale of investments
- ☐ Injection of capital
- ☐ Bank loan
- ☐ Other (please specify)

☐ There are additional ultimate beneficiaries to be filled

This can be added on page 21

Is the account applicant (via its director(s) or authorised person(s)) ultimately responsible for originating instructions in relation to transactions on the account?

☐ Yes ☐ No

(Where you have selected "No", please state name of ultimately responsible person)

5 Linked bank account details

Bank name _____

Bank account holder's full
name _____

Bank account number _____

SWIFT code _____

Currency ☐ HK\$ ☐ US\$

Please provide details of the designated linked bank account for making deposits and withdrawals from Endowus HK. Name of account with designated bank must be identical to the name of this account, no third party payment will be accepted.

Endowus HK will accept deposits from a separate bank account to the designated linked bank account, please check with your client advisor for further details.

6 Standing authority

By signing the Account Opening Form:

1. I/we hereby acknowledge and confirm that I/we have authorized the Company to deal with monies and securities (as defined in the term(s) and condition(s)) in accordance with Clause 7.2 of Schedule 2 (additional General Terms and Special Terms for Hong Kong clients) of the Terms and Conditions and the contents of that clause have been explained to us and we understand the contents of that clause.
2. I/We acknowledge that if I am:
 - a. A "Professional Investor" as defined under the Securities and Futures Ordinance (SFO) and its subsidiary legislation (see Section 7 below), the standing authority shall be valid until revoked by me/us in accordance with Clause 7.4 of Schedule 2 (Additional General Terms and Special Terms for Hong Kong Clients) of the Terms and Conditions; or
 - b. Not a "Professional Investor" as defined under the SFO and its subsidiary legislation, the standing authority shall be valid for a period of 12 months from the date from the date of execution of the Account Opening Form in accordance with Clause 7.3 of Schedule 2 (Additional General Terms and Special Terms for Hong Kong Clients) of the Terms and Conditions.

7 Professional Investor (PI) status confirmation and declaration

In Hong Kong certain rules and restrictions exist in connection with dealing with investors who are not professional investors for the purposes of the SFO (in particular Sections 174, 175 and Part IV) and its subsidiary legislation (including the Securities and Futures (Professional Investor) Rules (Cap. 571D), the Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules (Cap. 571Q)), the Companies Ordinance (Cap. 622) (the Companies Ordinance) and Schedule 17 of the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap. 32), please confirm the category you fall within by selecting one of the following:

1. A corporation falling within paragraphs (a) to (i) of the definition of "professional investor" under Part 1 of Schedule 1 to the SFO (i.e. an institutional professional investor). ☐
2. A trust corporation which has been entrusted under trust(s) of which it acts as trustee, with total assets of at least HK\$40 million (or its foreign currency equivalent). ☐
3. A partnership with a portfolio of cash and / or securities of at least HK\$8 million (or its foreign currency equivalent) or total assets of at least HK\$40 million (or its foreign currency equivalent). ☐
4. A corporation with a portfolio of cash and / or securities of at least HK\$8 million (or its foreign currency equivalent) or total assets of at least HK\$40 million (or its foreign currency equivalent). ☐
5. A corporation which has its principal business the holding of investments and is wholly owned by one or more of the following persons: a trust corporation, a partnership or a corporation as per paragraphs 2, 3, 4, and 5 herein, or an individual as per Securities and Futures (Professional Investor) Rules (Cap. 571D) or a professional investor within the meaning of paragraph (a), (d), (e), (f), (g) or (h) of the definition of "professional investor" under section 1 of Part 1 of Schedule 1 to the SFO. ☐
6. A corporation which wholly owns a corporation referred to in paragraph 4 above. ☐
7. None of the above. ☐

If you fall within a category described in 1-6 in section 7 "Professional Investor (PI) Status" above, you are a PI for the purposes of the SFO and its subsidiary legislation, the Companies Ordinance (Cap. 622) (the Companies Ordinance) and the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap. 32) (the C(WUMP)O). Consequently:

1. You hereby consent to being treated as a Professional Investor as defined in Schedule 1 to the Securities and Futures Ordinance (Cap. 571) (the "SFO") and the Securities and Futures (Professional Investor) Rules (the "Rules") of Hong Kong.
2. You undertake to provide to Endowus HK such documentary proof as is necessary to support your classification as a "Professional Investor" and, promptly notify Endowus HK of any changes that may affect your status as a "Professional Investor"; and
3. You acknowledge and agree that Endowus is exempt from complying with the provisions set out in paragraph 15.5 of the SFC Code of Conduct ("Exempt Requirements"), which are as follows:
 - (a) Information for clients
 1. the need to inform me about Endowus and the identity and status of its employees and others acting on its behalf;
 2. the need to confirm promptly with me the essential features of a transaction after effecting a transaction for me; and
 3. the need to provide me with documentation on the Nasdaq-Amex Pilot Program.

Furthermore, you acknowledge and agree that it is not necessary for Endowus to provide you with any contract notes, statements of account or receipts in accordance with the Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules, unless you specifically request.

Notwithstanding the foregoing, you understand that Endowus may choose to comply with the provisions set out in paragraph 15.5 of the Code of Conduct, and to provide me with contract notes, statements of account and receipts, even though Endowus is not obliged to do so.

The full text of the SFC Code of Conduct is available on the SFC website [here](#).

You understand that you may withdraw your consent to be treated as a "Professional Investor" at any time by giving 14 days' written notice by email to support.hk@endowus.com.

8 Confirmation and acknowledgements

By signing this Account Opening Form:

1. I/we confirm that I/we have carefully read the [Terms and Conditions, the Additional General Terms and Special Terms for Hong Kong Clients, and the Risk Disclosure Statement] (the "Agreement") hereby attached as Appendix 1, 2 and 3 respectively. The contents of the Agreement have been provided to me in a language I/we understand, and I/we agree to be bound by the terms and conditions thereof which may be amended from time to time;
2. I/we have been invited to read the [Terms and Conditions, the Additional General Terms and Special Terms for Hong Kong Clients, and the Risk Disclosure Statement] and have been given adequate opportunity to ask an Endowus representative questions and take independent advice if I so wish;
3. I/we declare that all information provided by me is true, complete and accurate, and I/we understand that Endowus is entitled to rely on all such information relating to my account;
4. I/we understand that Endowus, any of its affiliates and custodians shall not be held responsible for any losses incurred by me/us as a result of Endowus, any of its affiliates or custodians entering into any Transactions or executing any Instructions in reliance of all such information provided by me.
5. I/we acknowledge and agree that (a) the information is collected and may be kept by Endowus for the purpose of automatic exchange of financial account information, and (b) such information may be reported by Endowus to the Inland Revenue Department of the Government of the Hong Kong S.A.R. 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 undertake to advise Endowus of any change in circumstances which affects my tax residency status or causes the information to become incorrect, and to provide Endowus with any updated information within 30 days of such change in circumstances.
6. I/we represent and warrant that I/we have specifically sought the provision of Services and I/we have not been solicited, targeted or marketed to by Endowus HK Limited ("Endowus"). I/we understand that all disclosures and other regulatory or tax obligations in relation to the Services and investments made through Endowus are my sole responsibility and I shall ensure full compliance with the same;
7. I/we have read, understood and agreed to the [Privacy Policy] and [Platform Agreement] attached as Appendix 4 and 5 respectively. As explained in our Privacy Policy, Endowus intends to use your Personal Data (as defined in the Privacy Policy) for direct marketing;

8 Confirmation and acknowledgements

8. Where the client is incorporated in the People's Republic of China (PRC), I/we confirm and consent for Endowus HK to transfer the following information to overseas entities of Endowus or any other governmental body as authorised of the particular country where required by relevant laws and regulation:
- a. Names
 - b. Dates of birth
 - c. Places of birth
 - d. Addresses
 - e. Passport details (including passport photos)
 - f. Relevant sensitive personal information (where applicable)
 - g. Other relevant personal information necessary to support account opening
9. The Director(s) / Authorised Person(s) who have signed the Client acknowledgement in section 9 of the Account Opening Form, are the person(s) authorised to give Endowus HK oral and written instructions in respect of relevant transactions as specified in the Terms and Conditions / Client Agreement.
10. The signature(s) of the Director(s) / Authorised Person(s) in the Client acknowledgement in section 9 of the Account Opening Form are their genuine signature(s) and, in the case of written instructions, such signature(s) operate as the specimen signature of each of such person(s).

9 Client acknowledgement and signature

We acknowledge and agree to the above.

Signature of Director / Authorised Person

Full name

Date

ID number

☐

HKID

☐

Passport no

Signature of Director / Authorised Person

Full name

Date

ID number

☐

HKID

☐

Passport no

Witness information (if applicable): signed in the presence of – see Note below:

Signature of witness

Full name

Date

Witness type

Note: Please note that the witness “type” must be either:

1. An employee of Endowus; or
2. Any other licensed representatives or registered person;
3. An affiliate of a licensed representatives or registered person;
4. A Justice of the Peace;
5. A professional person (e.g. a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary and full member of the Institute of Chartered Secretaries and Administrators or its designated divisions).

In the case where this account opening form is executed by electronic signature, a witness would not be required, however per SFC requirements we would require a deposit of HKD 10,000 from your designated bank account listed in section 5 as part of the client verification process.

10 Required documentation (certified true copies required – see Note A)

Please provide certified true copies of the following supporting documentation for verification and record-keeping:

Documentation	Confirm provided
1. Business registration certificate (if applicable)	☐
2. Memorandum and Articles of Association (if applicable)	☐
3. Where a company is acting as a trustee, a copy of the trust deed	☐
4. Where a company is a partnership, a copy of the partnership deed	☐
5. Company structure chart with details of the ownership and structure of control (see Note B)	☐
6. Proof of Professional Investor Status (if applicable): a. The most recent audited financial statement prepared within the past 16 months; or b. Account statement or a certificate issued by a custodian (bank, brokerage firms, SFC licensed corporation, overseas licensed financial institutions) within the past 12 months; or c. A certificate issued by an auditor or a certified public accountant within the past 12 months; or d. A public filing submitted by or on behalf of the applicant within the past 12 months	☐
7. Valid identity document (i.e. HKID card / passport) for: a. Authorised Person(s) b. Directors / Partners / Individuals exercising control of the partnership or association c. Beneficial Owner(s) – see Note 2 (page 16)	☐
8. List of authorised signatories and specimen signatories	☐
9. Board resolution evidencing the approval of the opening of the account with Endowus HK and conferring authority on those who will operate it	☐

Note A: Documentation can be certified by an employee of Endowus HK, any other licensed or registered person, an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary (i.e. a full member of the Institute of Chartered Secretaries and Administrators or its designated divisions).

Note B: Where the company has an ownership structure which is made up of several layers, please follow the chain of ownership and provide identity documents for the individuals who are the ultimate beneficial owners in line with the “Individuals” category.

10. CRS Form – Entity (and CRS Form – Controlling Persons, if applicable)

☐

11. US IRS Form – W8-BEN-E / W8-IMY / W-8ECI / W-8EXP (whichever applicable)

☐

12. Risk Profile Assessment (Corporate Client)

☐

14. Consent letter(s) from employer where beneficial owner(s) are a licensed representative/registered intermediary of a Licensed Corporation/Registered Institution or in a position subject to investment restrictions by his/her employer

☐**11 For internal use: signature of licensed representative**

Signed and declared by licensed representative who has provided the Risk Disclosure Statements to the client(s) in a language of their choice (English or Chinese) and has invited the client(s) to read the Risk Disclosure Statements carefully, ask questions and take independent advice (if the client(s) wish(es)).

Signature of licensed person

Full name of licensed person

CE number of licensed person

Date

Notes

Note 1: Definition of United States Person includes:

1. a citizen or resident of the United States;
2. a United States-domiciled or registered partnership or corporation;
3. any trust where:
 - a. a court within the United States is able to exercise primary supervision over the administration of the trust; and
 - b. one or more United States Persons have the authority to control all substantial decisions of the trust.

Note 2: Beneficial owner in relation to a corporation refers to:

1. an individual who:
2. Owns or controls, directly or indirectly, including through a trust or bearer share holding, more than 25% of the issued share capital of the corporation; or
3. Is, directly or indirectly, entitled to exercise or control the exercise of more than 25% of the voting rights at general meetings of the corporation; or
4. Exercises ultimate control over the management of the corporation; or
5. if the corporation is acting on behalf of another person, means the other person.

Note 3: A PEP refers to a person entrusted with a prominent public function including a head of state, head of government, senior politician, senior executive of a state-owned corporation and an important political party official, which is more specifically defined under the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance (Cap. 615 of the Laws of Hong Kong).

3 Additional directors/partners

Director 4

Full name _____

Nationality _____ Contact phone number _____

Residential/registered address _____

Relationship to account applicant _____ ID number
☐ HKID _____ ☐ Passport no _____

Director 5

Full name _____

Nationality _____ Contact phone number _____

Residential/registered address _____

Relationship to account applicant _____ ID number
☐ HKID _____ ☐ Passport no _____

Director 6

Full name _____

Nationality _____ Contact phone number _____

Residential/registered address _____

Relationship to account applicant _____ ID number
☐ HKID _____ ☐ Passport no _____

4 Additional beneficial owners

3

Full name or legal entity name _____

Nationality or place of incorporation _____ Shareholding _____ %

ID number

☐ HKID _____ ☐ Passport no _____ ☐ Company registered no _____

Residential/registered address

Source of wealth (select all that apply)

Natural persons

- ☐ Employment
☐ Dividend Income
☐ Inheritance/Gift
☐ Sale of Investment
☐ Other (please specify) _____

Legal persons

- ☐ Business income
☐ Sale of investments
☐ Injection of capital
☐ Bank loan
☐ Other (please specify) _____

Are you planning to use different sources of funds for your investments?

☐ Yes ☐ No

If different, please provide information on your source of funds for your investments (select all that apply)

Natural persons

- ☐ Employment
☐ Dividend Income
☐ Inheritance/Gift
☐ Sale of Investment
☐ Other (please specify) _____

Legal persons

- ☐ Business income
☐ Sale of investments
☐ Injection of capital
☐ Bank loan
☐ Other (please specify) _____

3 Is the beneficial owner a licensed representative/registered intermediary of a licensed corporation/registered institution or in a position subject to investment restrictions by his/her employer? ☐ Yes ☐ No

Only applicable if answered "Yes" above

Please state job title and company name here.

Job title _____

Company name _____

You will have to provide consent letter in Section 10 (14).

4 Full name or legal entity name _____

Nationality or place of incorporation _____ Shareholding _____ %

ID number

☐ HKID _____

☐ Passport no _____

☐ Company registered no _____

Residential/registered address

Source of wealth (select all that apply)

Natural persons

☐ Employment

☐ Dividend Income

☐ Inheritance/Gift

☐ Sale of Investment

☐ Other (please specify) _____

Legal persons

☐ Business income

☐ Sale of investments

☐ Injection of capital

☐ Bank loan

☐ Other (please specify) _____

4

Are you planning to use different sources of funds for your investments?

☐ Yes ☐ No

If different, please provide information on your source of funds for your investments (select all that apply)

Natural persons

- ☐ Employment
- ☐ Dividend Income
- ☐ Inheritance/Gift
- ☐ Sale of Investment
- ☐ Other (please specify) _____

Legal persons

- ☐ Business income
- ☐ Sale of investments
- ☐ Injection of capital
- ☐ Bank loan
- ☐ Other (please specify) _____

Is the beneficial owner a licensed representative/registered intermediary of a licensed corporation/registered institution or in a position subject to investment restrictions by his/her employer?

☐ Yes ☐ No

Only applicable if answered "Yes" above

Please state job title and company name here.

Job title _____ Company name _____

You will have to provide consent letter in Section 10 (14).

5

Full name or legal entity name _____

Nationality or place of incorporation _____ Shareholding _____ %

ID number

☐ HKID _____ ☐ Passport no _____ ☐ Company registered no _____

Residential/registered address

5

Source of wealth (select all that apply)

Natural persons

- ☐ Employment
- ☐ Dividend Income
- ☐ Inheritance/Gift
- ☐ Sale of Investment
- ☐ Other (please specify) _____

Legal persons

- ☐ Business income
- ☐ Sale of investments
- ☐ Injection of capital
- ☐ Bank loan
- ☐ Other (please specify) _____

Are you planning to use different sources of funds for your investments?

☐ Yes ☐ No

If different, please provide information on your source of funds for your investments (select all that apply)

Natural persons

- ☐ Employment
- ☐ Dividend Income
- ☐ Inheritance/Gift
- ☐ Sale of Investment
- ☐ Other (please specify) _____

Legal persons

- ☐ Business income
- ☐ Sale of investments
- ☐ Injection of capital
- ☐ Bank loan
- ☐ Other (please specify) _____

Is the beneficial owner a licensed representative/registered intermediary of a licensed corporation/registered institution or in a position subject to investment restrictions by his/her employer?

☐ Yes ☐ No

Only applicable if answered "Yes" above

Please state job title and company name here.

Job title _____

Company name _____

You will have to provide consent letter in Section 10 (14).

Additional ultimate beneficiaries

2

Full name or legal name _____

Nationality or place of incorporation _____ Shareholding _____ %

Residential/registered address _____

ID number

☐ HKID _____ ☐ Passport no _____ ☐ Company registered no _____

Source of wealth (select all that apply)

Natural persons

- ☐ Employment
- ☐ Dividend Income
- ☐ Inheritance/Gift
- ☐ Sale of Investment
- ☐ Other (please specify) _____

Legal persons

- ☐ Business income
- ☐ Sale of investments
- ☐ Injection of capital
- ☐ Bank loan
- ☐ Other (please specify) _____

Are you planning to use different sources of funds for your investments?

☐ Yes ☐ No

If different, please provide information on your source of funds for your investments (select all that apply)

Natural persons

- ☐ Employment
- ☐ Dividend Income
- ☐ Inheritance/Gift
- ☐ Sale of Investment
- ☐ Other (please specify) _____

Legal persons

- ☐ Business income
- ☐ Sale of investments
- ☐ Injection of capital
- ☐ Bank loan
- ☐ Other (please specify) _____

3

Full name or legal name _____

Nationality or place of incorporation _____ Shareholding _____ %

Residential/registered address _____

ID number

☐ HKID _____ ☐ Passport no _____ ☐ Company registered no _____

Source of wealth (select all that apply)

Natural persons

- ☐ Employment
- ☐ Dividend Income
- ☐ Inheritance/Gift
- ☐ Sale of Investment
- ☐ Other (please specify) _____

Legal persons

- ☐ Business income
- ☐ Sale of investments
- ☐ Injection of capital
- ☐ Bank loan
- ☐ Other (please specify) _____

Are you planning to use different sources of funds for your investments?

☐ Yes ☐ No

If different, please provide information on your source of funds for your investments (select all that apply)

Natural persons

- ☐ Employment
- ☐ Dividend Income
- ☐ Inheritance/Gift
- ☐ Sale of Investment
- ☐ Other (please specify) _____

Legal persons

- ☐ Business income
- ☐ Sale of investments
- ☐ Injection of capital
- ☐ Bank loan
- ☐ Other (please specify) _____

4

Full name or legal name _____

Nationality or place of incorporation _____ Shareholding _____ %

Residential/registered address _____

ID number

☐ HKID _____ ☐ Passport no _____ ☐ Company registered no _____

Source of wealth (select all that apply)

Natural persons

- ☐ Employment
- ☐ Dividend Income
- ☐ Inheritance/Gift
- ☐ Sale of Investment
- ☐ Other (please specify) _____

Legal persons

- ☐ Business income
- ☐ Sale of investments
- ☐ Injection of capital
- ☐ Bank loan
- ☐ Other (please specify) _____

Are you planning to use different sources of funds for your investments?

☐ Yes ☐ No

If different, please provide information on your source of funds for your investments (select all that apply)

Natural persons

- ☐ Employment
- ☐ Dividend Income
- ☐ Inheritance/Gift
- ☐ Sale of Investment
- ☐ Other (please specify) _____

Legal persons

- ☐ Business income
- ☐ Sale of investments
- ☐ Injection of capital
- ☐ Bank loan
- ☐ Other (please specify) _____

5

Full name or legal name _____

Nationality or place of incorporation _____ Shareholding _____ %

Residential/registered address _____

ID number

☐ HKID _____ ☐ Passport no _____ ☐ Company registered no _____

Source of wealth (select all that apply)

Natural persons

- ☐ Employment
- ☐ Dividend Income
- ☐ Inheritance/Gift
- ☐ Sale of Investment
- ☐ Other (please specify) _____

Legal persons

- ☐ Business income
- ☐ Sale of investments
- ☐ Injection of capital
- ☐ Bank loan
- ☐ Other (please specify) _____

Are you planning to use different sources of funds for your investments?

☐ Yes ☐ No

If different, please provide information on your source of funds for your investments (select all that apply)

Natural persons

- ☐ Employment
- ☐ Dividend Income
- ☐ Inheritance/Gift
- ☐ Sale of Investment
- ☐ Other (please specify) _____

Legal persons

- ☐ Business income
- ☐ Sale of investments
- ☐ Injection of capital
- ☐ Bank loan
- ☐ Other (please specify) _____

Please complete all information as accurately as possible, electronically or with a black or blue pen.

Company name (legal entity name)

Financial situation

What is your company's total net assets?

- ☐ Below HK\$1M ☐ HK\$1M to 8M ☐ HK\$8M to 40M ☐ HK\$40M to 100M ☐ Above HK\$100M

What is your company's total liquid net assets?

Liquid net assets can be easily turned into cash (cash at the bank, stocks, ETFs, bonds, mutual funds, etc.).

- ☐ Below HK\$1M ☐ HK\$1M to 8M ☐ HK\$8M to 40M ☐ HK\$40M to 100M ☐ Above HK\$100M

Does your company have any liquidity needs from this investment account over the next 2 years?

- ☐ These funds are needed to support liquidity frequently
☐ These funds are needed to support liquidity from time to time
☐ These funds are only needed to support liquidity under unexpected circumstances
☐ These funds are not needed for liquidity

Behavioural risk tolerance

In order to achieve higher returns, your company is willing to endure higher volatility and fluctuations in the short term.

- ☐ Strongly agree ☐ Agree ☐ Neutral ☐ Disagree ☐ Strongly disagree

In order to achieve higher returns, your company is willing to invest for a longer time horizon.

- ☐ Strongly agree ☐ Agree ☐ Neutral ☐ Disagree ☐ Strongly disagree

If your company's investment portfolio drops by more than 20% over a short period of time when the market is volatile, what would you do?

- ☐ Invest more to lower the average cost of investment
☐ Hold the investment with the expectation of growth over the long term
☐ Sell a small part of the investment, and hold the remaining investment with the expectation of growth over the long term
☐ Sell a large part of the investment, and hold the remaining investment with the expectation of growth over the long term
☐ Sell all of the investment immediately to prevent further losses

Knowledge and experience

How many years of experience does your company have in investing?

- ☐ 5 years and above
- ☐ 3 to 5 years
- ☐ 1 to 3 years
- ☐ Less than 1 year
- ☐ None

Does your company have knowledge and investing experience in any of these financial products?

Check all that apply

- ☐ Forex
- ☐ Stocks and bonds
- ☐ Mutual funds
- ☐ Hedge funds or private equity funds
- ☐ None of the above

Client acknowledgement and signature

We acknowledge and agree to the above.

Signature of Director / Authorised Person

Full name

Date

ID number

☐ HKID

☐ Passport no

Signature of Director / Authorised Person

Full name

Date

ID number

☐ HKID

☐ Passport no