

SINO WEALTH SECURITIES LIMITED
SECURITIES TRADING
ACCOUNT OPENING FOR PROFESSIONAL INVESTORS

To: SINO WEALTH SECURITIES LIMITED (the “Company”)

CLIENT INFORMATION STATEMENT

The following information is being provided by the undersigned (the “Client”) for the purpose of opening a cash securities trading account for the purchase or sale of securities (as defined in the Securities and Futures Ordinance). The Client represents that the information is true, complete and correct and the Company is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change.

A. Client Details

Name of Client:	
Type of Entity (i.e. private limited, public listed company etc.)	
Nature of Business	() Proprietary investment/trading () Broking/Financial intermediary () Fund management for customers: () discretionary accounts () unit trusts/mutual funds () others; please describe _____
Is Client a regulated entity: <input type="checkbox"/> No () Yes, name of the regulator: _____	
Incorporation/Establishment	Place: Date :
Registered Address	
Correspondence Address (if different from above) Contact/Attention: Trading confirmation and Statements to be sent to: (please choose one only)	_____ Name: Tel: E-mail: <input type="checkbox"/> E-mail address <input type="checkbox"/> Correspondence address
Subscribe Internet Trading Account :	<input type="checkbox"/> No <input type="checkbox"/> Yes

List of authorized persons to deal (Please attach Client's Authorized List if available and this section need not be completed)	<u>Name</u>	<u>ID/Passport No</u>	<u>Tel Number(s)</u>

Settlement Details: (Please attach Client's standard settlement instructions and this section need not be completed)	Custodian:
	Bank Name:
	Bank Account Number:
	CCASS No (if applicable):
	Names of settlement contact person: _____
	Tel : _____ E-mail : _____
Bank Name	
Bank Account Number	

B. Signature and Acknowledgement

We confirm that the information provided above is correct.

Authorized Signature# & Company Chop

Date

Name

Title

Authorized Signature means any person who is acting in the capacity as director, partner, manager, officer of the Client or person(s) who has/have been given authority to enter into any binding agreement on behalf of the Client. If in doubt, please refer to your legal advisor/Compliance officer.
