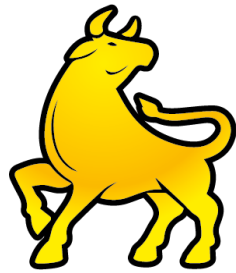


For office use only

A/C No : \_\_\_\_\_

AE : \_\_\_\_\_



**耀豐證券**  
**Yieldful**

Yieldful Securities Limited

耀豐證券有限公司

CE No. 證監會中央編號 ALS554

**Account Opening Form**

開戶申請書

(For Corporate Account 公司帳戶)



## ACCOUNT OPENING FORM – CORPORATE ACCOUNT

### 開戶申請書 – 公司帳戶

Yieldful Securities Limited (SFC CE No. ALS554)  
耀豐證券有限公司 (證監會中央編號: ALS554)

Unit B, 9/F, Jonsim Place,  
No.228 Queen's Road East, Wan Chai, Hong Kong  
香港灣仔皇后大道東 228 號中華大廈 9 樓 B 室

For office use only

A/C No : \_\_\_\_\_  
AE : \_\_\_\_\_  
Comm Rate: \_\_\_\_\_  
Interest Rate: \_\_\_\_\_  
Ref No.: Yieldful-\_\_\_\_\_

This form shall be read with Terms and Conditions of the Client Agreement with the same version code.

此表格須與客戶協議內的條款及條件(版本編碼與本表格相用)一併閱讀。

Please tick the appropriate box 請在適當空格加✓ *Please delete whichever is inapplicable 請刪去不適用者	Account Opening Date 開戶日期	(fill in by Company 由公司填寫)
--	------------------------------	----------------------------

### Account Type 戶口種類

Entity of the Client 客戶身份	<input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Unlisted Limited Company 非上市有限公司 <input type="checkbox"/> Overseas Company 海外公司 <input type="checkbox"/> Unlimited Company 無限公司	<input type="checkbox"/> Sole Proprietorship 獨資企業 <input type="checkbox"/> Partnership 合夥企業 <input type="checkbox"/> Trust Company 信託公司 <input type="checkbox"/> Others 其他
------------------------------	--	---

Company 公司	Account Type 戶口種類	Trading Platform 交易方式
Yieldful Securities Ltd 耀豐證券有限公司 (CE No. 中央編號:ALS554)	<input type="checkbox"/> Cash Securities Account 證券現金帳戶 <input type="checkbox"/> Margin Securities Account 證券保證金帳戶	<input type="checkbox"/> Electronic 電子交易 <input type="checkbox"/> Telephone 電話指示

### Business Information 業務資料

Company Name 公司名稱	
Trading Name (if different from Company Name) 營業名稱 (如異於公司名稱)	

Country of Incorporation 註冊國家		Date of Incorporation 公司註冊日期	
----------------------------------	--	---------------------------------	--

Certificate of Incorporation No. 公司註冊證號碼		Business Registration Cert. No. 商業登記證號碼	
---	--	--	--

Address of Registration 註冊辦事處地址	
Principal Business Address 主要營業地址	

Correspondence Address 通訊地址	(if different from above 如與上址不同)
--------------------------------	----------------------------------

Nature of Business 業務性質		E-mail Address 電郵地址	
----------------------------	--	------------------------	--

Telephone No. 電話號碼		Facsimile No. 傳真號碼	
-----------------------	--	-----------------------	--

Process Agent 法律程序代理人 (for the use of Overseas Company 海外公司客戶必須填寫)	
--	--

Name 名稱	Hong Kong Address 香港地址
---------	------------------------

--	--

## Financial Background 財務資料背景

Authorized Share Capital (HK\$) 註冊資本(港元)		Paid-up Share Capital (HK\$) 繳足股本(港元)	
<b>Profit after tax (HK\$) 除稅後盈利(港元)</b>		<b>Net Asset Value (HK\$) 資產淨值(港元)</b>	
<input type="checkbox"/> Under HK\$200,000 以下 <input type="checkbox"/> HK\$200,001 – HK\$300,000 <input type="checkbox"/> HK\$300,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> Above HK\$1,000,000 以上		<input type="checkbox"/> Under HK\$200,000 以下 <input type="checkbox"/> HK\$200,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 – HK\$5,000,000 <input type="checkbox"/> Above HK\$5,000,000 以上	

## Corporate Structure 公司結構

I Particular of Major Shareholders (Shareholding of 5% or more) (not applicable to public listed company) 主要股東資料細節 (持有百分之五或以上股權) (上市公司不用填寫)			
Name 姓名	ID / Passport No. 身份證 / 護照號碼	Address 地址	(%) 百分率

II Particular of Director of the Company 董事資料細節			
Name 姓名	ID / Passport No. 身份證 / 護照號碼	Address 地址	

## Account Operation Authorization 帳戶操作授權

I Particular of Authorized Person 授權人仕資料			
Name 姓名	ID / Passport No. 身份證 / 護照號碼	Telephone No. 電話號碼	Signature 簽署

II Account Operation Signatures Arrangement 帳戶操作簽署安排	
(1)	Each of the above authorized person specified is authorized to give verbal instructions and/or instruction through the Electronic Services (where applicable) in relation to the purchases or sale of any securities contracts for the Account(s) from time to time. 以上每一授權人仕均有權為帳戶買賣任何證券及合約而不時發出口頭指示及/或透過電子服務(如適用)發出的指示；及
(2)	Signed by one/two/_____authorized person signing *singly/jointly with Company Chop to validates any written instructions relation to the operation of the Account(s) 任何就帳戶運作之書面指出，由其中一位/兩位/_____位授權人仕 *單獨/共同簽署及公司印章，方為有效。

Please provide Board Resolution with the arrangement of Account Opening, Authorized Signatories, Oral Instructions and other relevant Instruction.  
請提供董事決議案列明開戶、授權簽署、口頭指示及其他有關指示之安排。



## Disclosure of Information 資料披露

- 1 Is any director, substantial shareholders or the ultimate beneficial owner of the Account, or his spouse, partner, child, parent, spouse or partner of his child, or a close associate with him entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and an important political party official?  
 帳戶之任何董事、主要股東或最終實益擁有人，或其配偶、伴侶、子女或父母，或其子女的配偶或伴侶，或與其關係密切的人，是否擔任或曾經擔任重要公職，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事?  
 No 否  Yes 是  
 (Please specify, 請說明) \_\_\_\_\_
- 2 Is the Company, any of the Company's Shareholders/Directors, the Authorized Person, the ultimate beneficial owner(s) of the Account and/or the person ultimately responsible for giving instructions for the Account, a Licensed or Registered Person, or a director or an employee of any Licensed or Registered Person of the Securities and Futures Commission in Hong Kong?  
 貴公司、其任何一位股東/董事、授權人士、此帳戶最終權益擁有人及/或就此帳戶進行交易的最終負責發出指示人仕，是否香港證券及期貨事務監察委員會的持牌或註冊人仕，或任何持牌或註冊人仕之董事或職員?  
 No 不是  Yes 是\*  
 Name of the Licensed or Registered Person(s) 持牌或註冊人仕名稱: \_\_\_\_\_  
**\*(If yes, please provide the written consent from your employer of your account(s) opening with Yieldful Group/its subsidiary 如是，請提供客戶僱主就確認同意於耀豐集團/其子公司開立戶口的同意書)**
- 3 Do the Company, any of the Company's Shareholders/Directors, the Authorized Person, the ultimate beneficial owner(s), and / or ultimate instructor(s) have any relationship with any director or employee of Yieldful Securities Limited or Group Company (ies)?  
 貴公司、其任何一位股東/董事、授權人仕、作為此帳戶最終權益擁有人及/或就此帳戶進行交易的最終負責發出指示人仕(“有關人仕”)，與耀豐證券有限公司或其集團公司之董事或職員是否有親屬關係?  
 No 不是  Yes 是 Name of Director/Employee 董事或職員姓名: Relationship 關係:  
 (Please specify 請註明) \_\_\_\_\_
- 4 Is the Company in Control of 35% or more of a company, or does the Company belong to the same group of companies as another company, or any of the Company's Shareholders/Directors, the Authorized Person, the ultimate beneficial owner(s), and/or ultimate responsible person for originating instruction (“the Relevant Person”), or any related person of the Company which maintained a margin account with Yieldful Securities Limited or Group Company(ies)?  
 貴公司是否在一間於耀豐證券有限公司或其集團公司持有保證金戶口的公司中擁有百分之三十五或以上的股權或/及表決權及/或，貴公司是否與一間於耀豐證券有限公司或其集團公司持有保證金戶口的公司同屬一個集團或/及貴公司之任何一位股東/董事、授權人仕、作為此帳戶最終權益擁有人，及/或此帳戶進行交易的最終負責發出指示人仕(“有關人仕”)，及/或任何貴公司相關連人仕，於耀豐證券有限公司或其集團公司持有保證金戶口?  
 No 不是,  Yes 是 Name of Account 戶口姓名: Account No. 戶口號碼:  
 (Please specify 請註明) \_\_\_\_\_
- 5 Do your Company maintain any other account(s) with Yieldful Securities Limited?  
 貴公司現時是否已持有耀豐證券有限公司之戶口?  
 No 否  
 Yes, please provide details 是，請提供詳細資料:  
 Name of Account 戶口姓名: Account Type 戶口類別: Account No. 戶口號碼:  
 \_\_\_\_\_

### Bank Account 銀行帳戶 (For direct deposit 直接存款之用)

Bank Name 銀行名稱	Account Number 帳戶號碼	Account Type 帳戶類別

### Delivery of Statements 結單寄發

Mailing Address\*  
 郵寄地址\*:

- E-mail Address (Free) 電郵地址 (免手續費)  
 Home Address (HKD \$100 per/month) 住宅地址 (每月港幣\$100 手續費)  
 Correspondence Address (HKD \$100 per/month) 通訊地址 (每月港幣\$100 手續費)  
 Business Address (HKD \$100 per/month) 商業地址 (每月港幣\$100 手續費)

### Other Information 其他資料

Reason for Choosing Yieldful for Account Opening 閣下選擇耀豐開戶的原因:

Referral 親友轉介  Walk-in 自薦  Seminar 講座  Others 其他: \_\_\_\_\_

## Client's Declaration, Acknowledgement and Consent 客戶聲名、確認及承諾

### **Application of Account Opening and Information Provided 開戶開立申請及資料提供**

I / We represent that the information on this Account Opening Form and relevant Forms is true, complete and correct and that I / We have not will fully withheld any material fact(s). I / We request you to open a Cash Securities / Margin Securities Account ( "the Account") and agree to all the terms of the Agreement and to abide by Agreement (including the General Terms and Conditions and the applicable Additional Terms and Conditions of the Client Agreement with the same version code of this form), the rules and regulations of Securities and Futures Ordinance, body(ies) as amended from time to time governing the transactions in the Account. Yieldful Securities Limited ("YSL") is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. YSL is authorized at any time to contact anyone, including my / our banks, brokers or any credit agency for the purpose of verifying the information provided on this Account Opening Form. I / We also understand that YSL will rely on the above information of Investment Experience and Product Knowledge provided to access whether I / we have acquired knowledge of derivative products, in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

本人/吾等茲聲明在開戶申請書及相關表格所提供之資料全部為真實、完整及正確，本人/吾等並未刻意隱瞞任何重要事實。本人/吾等向貴公司申請開立現金證券帳戶/保證金證券帳戶("該帳戶")和同意遵守客戶協議(版本編碼與本表格相同)的所有條款並同意遵守證券及期貨條例、香港交易所有限公司及其他監管機構不時修定以規管於該帳戶進行的交易之條例及規則。除非耀豐證券有限公司("耀豐證券")接到更改有關本開戶申請書內容的書面通知，否則上述公司有權完全依賴此等資料及聲名作一切用途。上述公司獲授權可隨時就核對本資料事宜，與任何人包括本人/吾等之銀行、經紀或任何信用機構進行諮詢。本人/吾等亦明白耀豐證券根據上述投資經驗及對產品認識內的資料介定本人/吾等是否擁有對衍生產品之認識，以符合證券及期貨事務監察委員會持牌人或註冊人操守準則之有關要求。

### **Agreement and Risk Disclosure Statement 協議及風險披露聲明**

I / We hereby acknowledge and confirm that the Client Agreement, including but not limited to the Account Opening Form, the General Terms and Conditions, Additional Terms and Conditions, Data Privacy Policy, Disclaimers and the Risk Disclosure Statement was provided to me/us in a language of my / our choice (English or Chinese), and I / we have been invited to read the Risk Disclosure Statement carefully, ask questions and seek independent advice if I / we so wish. I / We also confirm that I / we have retained a copy of the Agreement for my / our reference.

本人/吾等謹此承認並確定本人/吾等已獲得按照本人/吾等所選擇的語言(英文或中文)的客戶協議，當中包括，但不限於本開戶表、一般條款、附加條款、私隱政策、免責聲明及風險披露聲明，及本人/吾等已獲邀請細閱該風險披露聲明，提出問題及徵求獨立的意見(如本人/吾等有此意願)。本人/吾等確認本人/吾等已經保留本協議的副本，以作備考之用。

### **Standing Authority under "Securities and Futures (Client Money) Rules" (For Securities Account)**

#### **『證券及期貨(客戶款項)規則』下之常設授權(適用於證券帳戶)**

I / We hereby agreed, acknowledge and confirm that I / we have given the standing authority to authorize you to deal with my / our money and the contents of the Standing Authority under Securities and Futures (Client Money) Rules of Client Agreement Part III Schedule E clause 9 have been explained to me / us and I / we understand and agree the content of it.

本人/吾等謹此同意、承認及確定本人/吾等已授予貴公司常設授權以處置本人/吾等的款項，並且本人/吾等就該客戶協議內的第三部分附表 E 第 9 項的證券及期貨(客戶款項)規則下之常設授權的內容已獲得解釋，及本人/吾等明白及同意其內容。

### **Standing Authority under "Securities and Futures (Client Securities) Rules" (For Securities Margin Account Only)**

#### **『證券及期貨(客戶證券)規則』下之常設授權(只適用於證券保證金帳戶)**

I / We hereby agreed, acknowledge and confirm that I / we have given the standing authority to authorize you to deal with my / our securities collateral and the contents of the Standing Authority under Securities and Futures (Client Securities) Rules of Client Agreement Part III Schedule A clause 5 have been explained to me/us and I/we understand and agreed the contents of it.

本人/吾等謹此同意、承認及確定本人/吾等已授權予貴公司常設授權以處置本人/吾等的證券抵押品，並且本人/吾等就該客戶協議內的第三部分附表 A 第 5 項的證券及期貨(客戶證券)規則下之常設授權的內容已獲得解釋，及本人/吾等明白及同意其內容。

## Client's Consent to Use of Personal Data 申請人個人資料使用同意書

I / We have carefully read, fully understood and agreed to accept and be bound by the Notice and Statement Relating to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) as set out in Part V of the Client Agreement. In particular, 本人/吾等已仔細使閱讀，完全理解並同意接受並遵守載於客戶協議第五部分有關個人資料(私隱)條例(香港法例第 486 章)的通知及聲明，由其是，

- I / We hereby consent to the use of my/our Client Information for direct marketing directly related to the opening or continuation of my/our accounts with YSL and the provision of financial services by YSL to me/us.  
本人/吾等同意使用本人/吾等的客戶資料作為與本人/吾等於耀豐開立或繼續維持帳戶，及耀豐證券向本人/吾等提供金融服務有關的直接促銷之用。
- I / We hereby consent to the use of my / our Client Information for direct marketing by YIELDFUL, any Group Company or other carefully selected financial, insurance or other service providers of other financial and insurance and/or services not directly related to the opening or continuation of my/our accounts with Yieldful and the provision of financial services by Yieldful to me/us.  
本人/吾等同意使用本人/吾等任何其他集團公司或其他仔細挑選之金融、保險或產品供應商使用本人/吾等的客戶資料作為直接促銷與本人/吾等於耀豐開立或繼續維持帳戶，及耀豐證券向本人/吾等提供金融服務無關的其他金融、保險或產品供應商之用。

*The terms in English version, as opposed to the Chinese translation, shall be deemed to be conclusive and definitive.*

本開戶表之英文本(相對中文譯本而言)為確實及有最終效力。

## Client Signature & Company Chop 客戶簽署及公司印章

--	--

<b>Client Name</b> 客戶姓名	<b>Date</b> 日期
----------------------------	-------------------

## Declaration by Representative of Yieldful Securities Limited

### 由耀豐證券有限公司之代表作出聲明

I, \_\_\_\_\_ (name of representative) have fully explained and provided the contents of the Agreement, including but not limited to this Account Opening Form, the General Terms and Conditions, the Additional Terms and Conditions, the Disclaimers, the Data Privacy Policy and the Risk Disclosure Statement to \_\_\_\_\_ (name of client) in a language which he/she/they understand(s) and have invited the client to read, ask questions and take independent advice if the client wishes.

本人 \_\_\_\_\_ (持牌代表姓名)，經以他/他們明白的語言，向 \_\_\_\_\_ (客戶姓名)，邀請其閱讀，提出問題及徵求獨立意見(如客戶有此意願)，並已全部清楚解釋協議書，當中包括，但不限於本開戶表、一般條款、附加條款、免責聲明、私隱政策及風險披露聲明書內的內容。

<b>Signed by Licensed Representative</b> 持牌代表簽署	<b>SFC CE No.</b> 證監會中央編號	<b>Date</b> 日期
--	------------------------------	-------------------

#### Note 注意:

- Please attach an ID card copy of all account holders with this application form.  
請隨本申請表格附上全部賬戶持有人的身份證副本。
- Client can choose residential address, business address, correspondence address or e-mail address as all the statements will be sent to this address. P.O. Boxes are not accepted. Please attach the address proof of the residential address dated within the **latest 3 months**.  
客戶可選擇以住宅地址、商業地址、通訊地址或電郵地址收取帳戶結單。郵政信箱恕不接受。請附上**最近三個月內**之住宅地址證明文件。
- This form should be completed and signed by the customer in front of Yieldful's Licensed Representative, otherwise, please see below Note 5.  
客戶必須在耀豐的持牌代表面前填妥及簽署本表格；如非親身開戶，請參看下方的注意 5。
- Any deletion or amendment must be signed by all account holders.  
任何刪除或修改，必須由客戶簽名作實。
- If this document is not executed by the client in front of Yieldful's Licensed Representative, client should comply with either one of the following procedural requirement:  
如開戶文件並非在耀豐的持牌代表面前簽署，客戶必需遵守以下其中一個程序要求：
  - Client should send to Yieldful a personal cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) as shown on this Form in favour of "Yieldful Securities Limited" for not less than HK\$10,000 (or such other amount as may be advised by Yieldful). Your new account will not be activated until the cheque is cleared; or

客戶須交給耀豐由香港的持牌銀行開立的帳戶所簽發(該簽名須與此開戶表格上的簽名相符)並載有客戶於身份證明文件上所顯示的姓名的個人支票,而該支票抬頭人須為「耀豐證券有限公司」及其金額不得少於 10,000 港元(或耀豐通知客戶的其他數額)。

客戶的新帳戶必須待支票兌現後才可使用;或

- (ii) The signing of Form 1 and sighting of related identity documents should be certified by a JP (Justice of Peace), or a professional person such as a branch manager or a bank, certified public accountant, lawyer or notary public.

表格 1 及有關身份證明文件的見證,須由太平紳士、銀行分行經理、執業會計師、律師或公證人加以驗證。

6.. Cash Balance of securities account with Yieldful, which will not generate interest income for the client

客戶戶口的淨現金結餘,不會為客戶帶來利息收入

For Office Use Only 只供本公司專用				
Yieldful hereby appoints the following Account Executive(s) being licensed by Securities and Futures Commission or such other licensed person as from time to time it may permit and notify the Client in writing, to be primarily responsible for the affairs of the Client in respect of the Client's account(s) with Yieldful:				
Name of Account Executive:				
1.	Mr./Ms.		CE No.	
2.	Mr./Ms.		CE No.	
Document checklist: 文件查核清單:				
<input type="checkbox"/> Copy of Business Registration Certificate (if any) 商業登記證副本 (如有)		<input type="checkbox"/> Guarantee of Directors 公司董事擔保費		
<input type="checkbox"/> Copy of Certificate of Incorporation 公司註冊證書副本		<input type="checkbox"/> ID/ Passport copies of all Directors, Authorized Person & Guarantor 所有董事、獲授權者及擔保人的身份證/護照副本		
<input type="checkbox"/> Copy of Memorandum & Articles of Association 公司章程大綱及細則副本		<input type="checkbox"/> Business/ Registration Address Proof (within 3 months) 營業/註冊地址證明 (三個月內)		
<input type="checkbox"/> Copy of Register of Directors of Form D2 公司董事紀錄冊或 D2 表格副本		<input type="checkbox"/> Certificate of Incumbency (Overseas Company, if required) 存續證明書 (海外公司, 如需要)		
<input type="checkbox"/> Board Resolution 董事決議案				
Remarks:				
Document & Client Information checked by:				
Name of staff & signature				Date
Name of staff & signature				Date
Commission Code				
Securities				
<b>ACKNOWLEDGED AND ACCEPTED BY AN AUTHORIZED SIGNATORY(IES) FOR AND ON BEHALF OF YIELDFUL SECURITIES LIMITED</b> 經由耀豐證券有限公司之授權代表確認及接納				
Authorized Signature(s) 授權代表簽署		Name of Authorized Person 授權代表姓名		Date 日期



## Confirmation letter of Anti-Money Laundering & Counter Terrorist Financing

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

This confirmation was provided by the undersigned as at the date hereof for the purpose of assisting Yieldful to fulfill Yieldful's "Client Due Diligence" duty pursuant to the relevant provisions in the Guideline on Anti-Money Laundering and Counter-Terrorist Financing April 2012 published by Securities and Futures Commission of Hong Kong (the "SFC").

The undersigned hereby confirmed that:

- (a) the signatories list provided by [\_\_\_\_\_] (the "Signature List") which was attached herewith completely and accurately set out the signatories which were properly authorized by [\_\_\_\_\_] to sign on behalf of;
- (b) each of the sample signatures in the Signature List was made by the signatory whose name was entered against the respective sample signature;
- (c) each of the signatories in the Signature List was currently employed by the [\_\_\_\_\_] or being appointed as a director of [\_\_\_\_\_] as at the date hereof and their identities had been verified; and
- (d) the authority to sign on behalf of the [\_\_\_\_\_] by each of the signatories in the Signature List has not been revoked/cancelled as at the date hereof and shall continue to be valid unless we notify Yieldful in writing of such revocation/cancellation.

We agree to provide further information if and when required by the SFC or under any laws, regulations, code of conduct, rules or guidelines published by the SFC from time to time.

Signature: \_\_\_\_\_

Company Name: \_\_\_\_\_

Name of signatory of this letter: \_\_\_\_\_

Position of the signatory of this letter: \_\_\_\_\_

**CERTIFIED EXTRACT OF BOARD RESOLUTIONS**

Name of Client: \_\_\_\_\_ (the "Company") at a meeting of the Directors of the Company duly convened and held at the address of:

\_\_\_\_\_  
\_\_\_\_\_

On the \_\_\_\_\_ day of \_\_\_\_\_ at which a quorum was present and acting throughout, the following Resolutions were duly passed by the Board of Directors:

1. That the account(s) as per our choice in Account Opening Form (the "Account") be opened and maintained in the name of the Company with Yieldful Securities Limited ("Yieldful") to enable the Company to utilize the securities trading and related services of Yieldful including but not limited to any purchase, sale, holding and other dealings in securities as the Company may from time to time request and that the Account and all such purchases, sales, holdings and other dealings be effected and all such services by Yieldful to the Company be provided subject to and in accordance with the Client Agreement, Account Opening Form and such additional terms to be specified by Yieldful and notified to the Company from time to time (collectively, the "Agreement"):
2. That the Agreement in such form as completed (including as to the identities of the persons authorized to serve as "Authorized Persons") and produced to the Meeting be and are hereby approved.
3. Each of the Authorized Person specified in Agreement is authorized to give verbal instructions and/or instruction through the Electronic Services (where applicable) in relation to purchase or sale of any securities contracts for the Account(s) from time to time.
4. That any one/two/\_\_\_\_\_ authorized person signing \*singly/jointly with Company Chop to validates any written instructions relating to the opening and maintaining of the Account(s).

I, the undersigned, DO HEREBY CERTIFY that the foregoing is a true copy of the Resolutions which (a) were duly passed in accordance with the Memorandum and Articles of Association (or other constitutional documents) of the Company; (b) have been duly recorded in the minutes book of the Company; and (c) remain in full force and effect, and no action having been taken to rescind or amend the said Resolutions.

Dated this \_\_\_\_\_ day of \_\_\_\_\_

\_\_\_\_\_  
Director

**Anti-Money Laundering Risk Assessment Questionnaire**

Client's Name: \_\_\_\_\_

To the best of your knowledge, does the client have the following features?

For Individual Client

1	Is your client linked to politically exposed person *1 / terrorist *2?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
2	Is the name of your client's business particularly susceptible to money laundering risk? (e.g. moneychanger or casino business that handle large amount of cash)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
3	Is there any reasonable suspicion or risk that money from your client might be arising from or related to proceeds of crime? (e.g. deposit large amount of cash, opening several accounts with no good reason, request for payment to be deposited under an offshore bank account)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
4	Is the account established through no face to face approach?	Yes <input type="checkbox"/>	No <input type="checkbox"/>

For Corporate Client, please answer the additional question below:

5	Does your client have unduly complex structure for no good reason?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
6	Does your client operate in a country where there is lack of proper standards in the prevention of money laundering? (e.g. operate outside the FATF*3 member countries)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

Risk Assessment: **HIGH / LOW**

Completed by: \_\_\_\_\_ (Responsible AE)                      Date: \_\_\_\_\_

Remarks:

- If the answer to any the above questions is "Yes", then Risk Assessment is "HIGH"
- For "HIGH" Risk Assessment. Enhanced customer diligence procedure and approval from compliance department and Senior management is

Reviewed by: \_\_\_\_\_ (Compliance Department)                      Date: \_\_\_\_\_

1. Political exposed person- individual who is or has been with prominent public-function(s). e.g. head of state / government, senior politician, senior executive of government owned corporation, important political party official, etc.,

2. "Terrorist" means a person who commits, or attempts to commit, a terrorist act or who participate in or facilitates the commission of a terrorist act.

3. Argentina, Austria, Belgium, Brazil, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, Italy, Japan, Luxembourg, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, United States of Americans, the EU commission and the Gulf Co-operation Council.