



ZUNDIAO SECURITIES LTD.
尊迪奧證券有限公司
 (CE No. 中央編號:BMR631)

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Zundiao Securities Limited, a licensed corporation to carry on Type 1 (dealing in securities) regulated activities pursuant to the Securities and Futures Ordinance (Cap. 571)

ACCOUNT APPLICATION FORM

****Please read the Cash Client Agreement before signing this Account Application Form****

CORPORATE / INSTITUTIONAL ACCOUNT

ACCOUNT GENERAL INFORMATION

Account No.	
Account Type	
Customer Type	Corporate / Institutional account

I. FOR CORPORATE ACCOUNT

1. CLIENT INFORMATION

Client Name (English)		
Client Name (Chinese)		
Place of Incorporation	Date of Incorporation	Nature of Business
Certificate of Incorporation Number	Business Registration Number (applicable to HK incorporated)	
Client Type	<input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Partnership <input type="checkbox"/> Listed Company <input type="checkbox"/> Corporation (Non-listed Company) <input type="checkbox"/> Licensed Financial Institution <input type="checkbox"/> Type of financial business <input type="checkbox"/> Licensed by _____ <input type="checkbox"/> Other (Please Specify) _____	
Registered Address		
Business Address (if different from Registered Address)		
Office Tel No. ()-	Office Fax No. ()-	Website
E-mail Address (For internet trading and / or electronic statement)		

2. FINANCIAL INFORMATION

Issued Share Capital (HK\$)	Paid-up Capital (HK\$)
Annual Turnover (HK\$)	Profits before tax (HK\$)
	Profits after tax (HK\$)
Source(s) of Funds (Please tick one or more) <input type="checkbox"/> Paid Share Capital <input type="checkbox"/> Business Operation <input type="checkbox"/> Others (Please specify)	

Funds available for Investment (HK\$)

Under \$1,000,000

\$1,000,001 - \$5,000,000

\$5,000,001 - \$10,000,000

Over \$10,000,000

3. LIST OF DIRECTORS, SHAREHOLDERS AND/OR ULTIMATE BENEFICIAL OWNERS

(Not Applicable to Listed Company)

Name of Director	Phone No.	HKID/Passport No./Registration No.	Home Address/Registered Address
(i)			
(ii)			
(iii)			
(iv)			

Name of Shareholder	HKID/Passport No./Registration No.	Home Address/Registered Address
(i)		
(ii)		
(iii)		
(iv)		

4. FOR SHAREHOLDER THAT IS A CORPORATE BODY OR NOT AN ULTIMATE BENEFICIAL OWNER WHO IS AN INDIVIDUAL, PLEASE ALSO PROVIDE DETAILS OF THE INDIVIDUAL ULTIMATE BENEFICIAL OWNER(S) (A PERSON HOLDING NOT LESS THAN 10% OF THE SHARES).

Name of Ultimate Beneficial Owner	% Share in Shareholder	HKID/Passport No.	Home Address/Registered Address
(i)			
(ii)			
(iii)			
(iv)			
(v)			

5. ACCOUNT OPERATIONS AUTHORISATION

As set out in the Board Resolution.

ZUNDIAO shall be informed by notice in writing of any changes of Authorised Signatory (i.e. revocation or subsequent appointment) pursuant to the terms of the Cash Client Agreement.

6. IDENTITY INFORMATION

(i) Are any of the director(s), shareholder(s), ultimate beneficial owner(s) or authorised person(s) of the Client ("Relevant Person") an employee or relative of any employee or director or representative of **Zundiao Securities Limited ("ZUNDIAO")** or any of its subsidiaries?

No

Yes (Please specify)

Name of Relevant Person _____ Name of employee / director / representative _____

Relationship _____

Are any of the shareholder(s) or ultimate beneficial owner(s) of the Client ("Controlling Person") an employee or director or accredited person of any a licensed corporation or registered institution registered with the Securities and Futures Commission or of an entity regulated by any other regulator (in Hong Kong or otherwise)?

No

Yes (Please specify and provide employer's consent letter)

(ii) Are any of the Relevant Person(s) a director, employee or substantial shareholder (controlling not less than **10%** of the shares) of any listed company in Hong Kong?

No

Yes (Please specify)

Name of Relevant Person _____

Name of listed company and respective role _____

(iii) Do any of the Relevant Person(s) maintain or operate any other account with **ZUNDIAO** or any of its subsidiaries?

No

Yes (Please specify)

Account Name _____ Account No _____

(iv) Are any of the Relevant Person(s) or his/her spouse, partner, child, parent, spouse or partner of his/her child, or close associate a politically exposed person, such as a head of state/government, senior government official, senior politician, important political party official, senior executive of a state owned corporation, etc.) ?

No

Yes (Please specify) _____

II GENERAL ACCOUNT INFORMATION FOR CORPORATE ACCOUNT

1. INVESTMENT KNOWLEDGE

Corporate / Main Account Holder

(i) Investment Objective(s) (Please tick one or more)

- Capital Gain Dividend or interest Income
 Hedging Growth
 Others (Please specify) _____

(ii) Investment Experience

Year of experience

- Stocks
 Futures
 Options & Swaps
 Foreign Exchange
 Bonds/Certificates of Deposit
 Equity Linked Instruments (ELI)
 Warrants/CBBCs
 Derivatives/Structured Products
 ESG investments ESG
 Others

(iii) Knowledge of derivatives

- I/We have NOT acquired knowledge of derivative products (e.g. Warrants, Callable Bull/Bear Contracts, Options, Futures, Structured Products etc, whether traded on an exchange or not)
 I/We understand the nature and risks of derivative products:
 By undergoing training or attending courses
 Please specify _____
 From work experience
 Please specify _____
 From trading experience
 Please specify _____

(iv) Risk Tolerance and Client Investment Interest

Risk Tolerance
(Please tick one only)

Client Investment Interest
(Please tick one or more of the product(s) that you are interested in trading):

- | | |
|---------------------------------------|---|
| <input type="checkbox"/> Aggressive | <input type="checkbox"/> Derivative Warrants / Callable Bull/Bear Contracts
<input type="checkbox"/> Exchange Traded Funds (ETF) / Trust
<input type="checkbox"/> Growth Enterprise Market (GEM)
<input type="checkbox"/> Shanghai Connect Stock
<input type="checkbox"/> Shenzhen Connect Stock
<input type="checkbox"/> Main Board |
| <input type="checkbox"/> Moderate | <input type="checkbox"/> Exchange Traded Funds (ETF) / Trust
<input type="checkbox"/> Growth Enterprise Market (GEM)
<input type="checkbox"/> Main Board |
| <input type="checkbox"/> Conservative | <input type="checkbox"/> Main Board |

2. METHOD FOR LANGUAGE OF COMMUNICATION / ACCOUNT STATEMENT COLLECTION

Please select one of the following methods or language for communication / account statement collection (Monthly fee of HK\$100 would be charged for any mailing services)

- (i) English Chinese
 (ii) Email Address Home Address Registered Address Business Address
 Others (Please specify): _____

This section has been completed by

- authorised signatory
 chief investment officer
 other (Please specify): _____

3. BANK ACCOUNT DETAILS

Unless otherwise instructed by the Client, all payments payable to the Client will be deposited into the following bank account(s):

Currency: HKD USD CNY
 Bank Name: _____ Swift Code: _____
 Account Holder Name _____ Account Number _____

4. ULTIMATE BENEFICIAL OWNER(S)		
I am/ We are the ultimate beneficial owner(s) of the account.		
<input type="checkbox"/> Yes		<input type="checkbox"/> No, please specify:
Name of Ultimate Beneficial Owner(s): _____	Relationship with Account Holder: _____	I.D. Card / Passport No.: _____
Address: _____		(Postal Code: _____)
Is/are the ultimate beneficial owner(s) a U.S. citizen or resident?		<input type="checkbox"/> No <input type="checkbox"/> Yes
Is/are the ultimate beneficial owner(s) born in U.S.?		<input type="checkbox"/> No <input type="checkbox"/> Yes
5. DECLARATION		
The Client has applied to open an account with [name]. By signing this part, the Client declares and confirms that:		
<p>a. The information provided in this Client Information Statement is complete, true and accurate. ZUNDIAO is entitled to rely fully on such representations and information for all purposes, unless the Client informs ZUNDIAO in writing of any change to that information. ZUNDIAO is authorised to contact anyone, including the Client's bankers, brokers or any credit agency, for the purposes of verifying the information provided in this Client Information Statement.</p> <p>b. The Client acknowledges that the Client has read and understood the terms of each investment product provided by ZUNDIAO, including without limitation margin calls, position limits and closing out or termination of positions provided by ZUNDIAO and fully understands the circumstances under which the Client's positions may be closed without the Client's consent.</p> <p>c. The Client acknowledges that the Client has read and understood the contents of the Risk Disclosure Statements as referred to in Client Account Agreement Section F, in particular the Client fully understands the nature and risks associated with derivatives.</p> <p>d. Independent advice regarding the opening of this account and the applicable terms have been sought.</p> <p>e. ZUNDIAO is subject to or may observe the laws of other jurisdictions, such as the Foreign Account Tax Compliance Act ("FATCA") and the Client agrees to the withholding or deduction of funds from its account in order for ZUNDIAO to do so.</p> <p>f. The Client further undertakes to fully indemnify ZUNDIAO against any loss, damages and cost suffered by ZUNDIAO as a result of the Client providing misleading or false information or otherwise failing to comply with any requirement under FATCA and any other Foreign Law Requirement.</p> <p>g. The Client acknowledges and confirms that the Client has read and understood the Notice on Personal Data (Privacy) Ordinance as set out in Section E. Unless the Client does not agree to the use of the Client's personal data for direct marketing by so indicating in Section E, the Client acknowledges and consents to the use and/or transfer of his/her personal data for direct marketing as set out in the Notice on Personal Data (Privacy) Ordinance in accordance with Section E of the Cash Client Agreement.</p> <p>h. The operation of the account shall be subject to the "Client Account Terms and Conditions" and relevant authorisations (including Standing authorities) and instructions.</p>		
6. USE OF PERSONAL DATA		
I/ We <input type="checkbox"/> agree / <input type="checkbox"/> disagree to the use of my/ our/ Client's Personal Data for direct marketing by ZUNDIAO under Personal Information Collection Statements of the Part H of Client Account Agreement .		
I/we understand that at any time in the future, in respect of direct marketing, I/we are entitled to inform the Data Privacy Officer of ZUNDIAO if I/ we wish to opt-out of the use of my/our/Client's personal data for any of the direct marketing purposes.		
7. CLIENT SIGNATURE		
I/We confirm that I/we have read and fully understood the contents of the Client Account Agreement.		
CORPORATE ACCOUNT		
Authorised Signature with Company Chop	Authorised Signature with Company Chop	
Name in Block Letter	Name in Block Letter	
Date	Date	

SIGNED BY WITNESS	
(to be completed by a licensed representative ZUNDIAO or Professional (any other licensed or registered person with the SFC, a JP, branch manager of a bank, certified public accountant, lawyer, notary public or others))	
I hereby certify that I have witnessed the signature and verified the original identity documents of the persons above.	
Signed and Certified by	Name of witness
Occupation/Position	Date
DECLARATION BY LICENSED PERSON	
I confirm that I have provided the risk disclosure statements (as contained in the Client Account Agreement) in a language of the Client's choice (English or Chinese) and invited the Client to read the risk disclosure statements, ask questions and take independent advice if the Client wishes.	
Signature of Licensed Person	Name of Licensed Person
Date	Date
DECLARATION BY LICENSED PERSON	
ZUNDIAO Authorised Signature	Name of Authorised Person
Position	Date
<p>NOTE 1:</p> <p>If the information provided by the Client indicates any "U.S. Indicia" as below: :</p> <ol style="list-style-type: none"> (1) The Client is a U.S. citizen or resident;; (2) The Client was born in U.S.;; (3) The Client holds a current U.S. mailing, residential address (including a U.S. post office box);; (4) The Client holds a current U.S. telephone number;; (5) The Client requests Standing instructions to transfer funds to an account maintained in the U.S.;; (6) Any of the Directors and/or Authorised Person(s) of the Client holds a U.S. address; or (7) The Client used an "in-care-of" or "hold mail" address as his/her sole address. <p>Then, please choose any 1 of the following options to declare the U.S. or non-U.S. status of the Client or the ultimate beneficial owner of the account:</p> <ol style="list-style-type: none"> (a) If the Client or the ultimate beneficial owner of the account holds a U.S. citizenship or lawful permanent resident (green card) status, whether he/she was born in U.S., please complete Form W-9 to establish U.S. status. (b) If the Client or the ultimate beneficial owner of the account does NOT hold a U.S. citizenship or lawful permanent resident (green card) status, but has any of the U.S. indicia (2) to (7), please: <ul style="list-style-type: none"> complete Form W-8 and provide a non-U.S. passport or other similar government issued evidence establishing his/her citizenship in a country other than the U.S.; and (c) if the Client or the ultimate beneficial owner of the account was born in U.S., please provide the copy of the form "Certificate of Loss of Nationality of the United States" or written explanation regarding his/her relinquishment of U.S. citizenship or reason why he/she did not obtain U.S. citizenship at birth. <p>If the Client or the ultimate beneficial owner of the account does NOT have any U.S. indicia above, no W-8 or W-9 forms are required.</p>	
<p>NOTE 2:</p> <p>) Any deletion or amendment must be signed by the Client(s).</p>	

- J Certified copy means a copy of the original that has been sighted by an independent certifier (the “Certifier”). The Certifier can be a licensed representative or affiliate of **ZUNDIAO** or Professional (any other licensed or registered person with the SFC, a JP, branch manager of a bank, certified public accountant, lawyer, notary public or others).
- J The Certifier must i) sign and date the copy document (printing his/her name clearly in capitals underneath), ii) clearly indicate his/her position or capacity on it and iii) state that it is a true copy of the original (or words to similar effect).

FOR INTERNAL USE ONLY

A.E. Code:	Interest Rate:
Trade Limit/Trading Limit:	Credit Limit/Position Limit:
Commission:	Others:

A/C OPENING FLOW RECORD

Approval by:	Input by:	Checked by:
Date:	Date:	Date: