

**ACCOUNT OPENING FORM – PROFESSIONAL INVESTOR**

開戶申請表 - 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: \_\_\_\_\_

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 TSL) (由天晟填寫)
	Language preference 語言選擇	Account Type
<input type="checkbox"/> English 英文	<input type="checkbox"/> House Account 自營	
<input type="checkbox"/> Chinese 中文	<input type="checkbox"/> Client Account 客戶帳戶	

**Source of Funds 資金來源**

Institutional PI:	<input type="checkbox"/> Business income/ profit 業務收入/利潤	<input type="checkbox"/> Sale of Property/ Asset 資產出售
	<input type="checkbox"/> Others 其他 (Please specify 請具體說明: _____)	

**Applicant's Bank Details 銀行資料**

Banker's Name 銀行名稱: _____	<input type="checkbox"/> HKD 港幣	<input type="checkbox"/> RMB 人民幣	<input type="checkbox"/> USD 美元
A/C No. 帳戶號碼: _____			
Banker's Name 銀行名稱: _____	<input type="checkbox"/> HKD 港幣	<input type="checkbox"/> RMB 人民幣	<input type="checkbox"/> 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

<input type="checkbox"/> Exchange company / clearing house/automated trading services provider 交易所/結算所/自動化交易服務提供者
<input type="checkbox"/> 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
<input type="checkbox"/> 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
<input type="checkbox"/> Authorized / regulated insurance company 經認可 / 受規管的保險公司
<input type="checkbox"/> 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
<input type="checkbox"/> 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
<input type="checkbox"/> 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
<input type="checkbox"/> Government (other than municipal government) / central bank / multilateral agency 政府(市政府除外) / 中央銀行 / 多邊機構
<input type="checkbox"/> (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
<input type="checkbox"/> (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

Global Intermediary Identification Number (GIIN)(if any) : \_\_\_\_\_

## 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	Position	Contact No.	ID/Passport No.

➔ 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	Position	Contact No.	ID/Passport No.

**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. HKSFC, 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 Tensant Securities Limited and (collectively known as "TSL") 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, 並授權天晟證券有限公司(統稱被稱為"天晟"), 以驗證它與任何來源, 它可能認為必要的。

I/We agree to be treated by TSL 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 天晟 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 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 (for Margin Securities Account Only).

我/我們在此同意, 承認並確認我/我們已授權您根據客戶的證券和期貨 (客戶證券) 規則處理我/我們的證券抵押品和常設權力機構的內容協定第三部分附表 A 第 5 條已向我們解釋, 我們理解並同意該條款的內容 (僅適用於保證金證券帳戶)。

2. I/We agree that TSL is exempt from the provisions set out in paragraph 15.4 and 15.5 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission ("Code of Conduct").

我/我們同意 天晟 不受《證券及期貨事務監察委員會持牌人或註冊人士行為守則》("行為守則") 第 15.4 及 15.5 段的規定規限。

3. I/We undertake that I/we shall inform TSL 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 天晟。

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

我/我們同意 天晟 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 Tensant.

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, 或由天晟的許可代表。

- 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.
- 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;
- Form PI3** : Anti-Money Laundering Questionnaire
- Form PI4** : Self-Certification Form-Entity
- Form PI5** : W-8BEN-E
- Form PI6** : Professional Investor Notice & Assessment Form
- Certified true copy for Company's business licence

**Additional documents for Institutional PI (for internal use only)**

Proof of document for regulated institution;

TSL 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 TSL and / or TSL.

**For official use**

Acknowledge and accepted by the authorized signatory for and on behalf of **Tensant Securities Limited**

Approved by : \_\_\_\_\_ (Name : \_\_\_\_\_)

A/C opening date : \_\_\_\_\_

Documentation checked by : \_\_\_\_\_ (Name : \_\_\_\_\_)

Account number : \_\_\_\_\_ Account name : \_\_\_\_\_

A.E name / code : \_\_\_\_\_

How Long known to A.E : \_\_\_\_\_