

Registered Office: 28/F CCB Tower, 3 Connaught Road Central, Central, Hong Kong. China Construction Bank (Asia) Corporation Limited is an Authorized Institution and a Registered Institution (CE No. AAC 155) under the Securities and Futures Ordinance (Cap. 571) to carry on Type 1 (Dealing in Securities) and Type 4 (Advising on Securities) Regulated Activities.

**Application Form for Wealth Management Connect Southbound Service**

**For Bank Use Only**

Qualification Verification Confirmation Letter No. :

**\* fields are compulsory to fill in**

Please complete in BLOCK LETTERS

Please check in the box(es) as appropriate

**A. Account opening and application of Wealth Management Connect Southbound Service**

I am now applying to China Construction Bank (Asia) to open the following accounts and services :

- Wealth Management Connect multi-currency statement savings account <sup>1-5</sup>
- Wealth Management Connect time deposit account <sup>1-5</sup>
- Wealth Management Connect mutual funds investment account (With corresponding Settlement Account as "Wealth Management Connect multi-currency statement savings account") <sup>5</sup>
- Portfolio Statement and Time Deposit eAdvice Service <sup>2-3</sup>
- Online Banking and Mobile banking <sup>4</sup>
- Security Token Services <sup>6</sup> (optional)

Remark :

1. The above account types are deposit qualified for protection by the Deposit Protection Scheme in Hong Kong.
2. Portfolio Statement is eStatement. If you want to choose paper statement, please open a non-Wealth Management Connect Account as Lead Account of Portfolio Statement. If you want to use the paper Time Deposit Advice service, please apply to the bank.
3. The Wealth Management Connect multi-currency statement savings account is the Lead Account of the newly set up Portfolio Statement of the Wealth Management Connect Southbound Service. The Wealth Management Connect mutual fund investment account and all other existing or future personal accounts will be linked to Portfolio Statement.
4. All sole-name accounts, including but not limited to savings and time deposit, will be automatically linked to Online Banking and Mobile Banking.
5. Wealth Management Connect Investment Account means a set of accounts comprising Wealth Management Connect multi-currency statement savings account, Wealth Management Connect time deposit account and Wealth Management Connect mutual funds investment account.
6. The Bank will deliver the Security Token by Ordinary Mail or Courier Service, subject to the Bank's arrangement. Phone number registered at the Bank shall be used as the contact number for Security Token delivery service.

**B. Personal Information of Applicant**

Name in English* :		Name in Chinese* :		Sex <input type="checkbox"/> Male <input type="checkbox"/> Female
Date of Birth* :	Date of Birth* (YYYY-MM-DD):	Nationality* China		
Mainland identity card no.* :		Date of Expiry* (dd/mm/yyyy) :		
Type of additional identity document : <input type="checkbox"/> The Exit-Entry Permit for Travelling to and from Hong Kong and Macau <input type="checkbox"/> Others ( Please specify ) _____	Additional identity document no. :		Date of Expiry of additional identity document* (dd/mm/yyyy) :	
Place of issue of additional identity document :				
Mailing Address* ( This address is applicable to accounts in this application and (if any) replacing the customer's correspondence address record of existing account(s) in the bank ) :		Mobile* ( country code ) - (Contact Tel. No.) : (     ) - (                     )		
Residential Address* ( if different from address in identity card, please provide address proof ):		Home ( Optional ) (country code) – (area code) – (Contact Tel. No.) : (     ) - (     ) – (                     )		
Permanent Address ( please fill in if different from residential address ; if different from address in identity card, please provide address proof ) :		Office ( Optional ) (country code) – (area code) – (Contact Tel. No.) : (     ) - (     ) – (                     )		
Email Address* :	Marital Status (Optional) : <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others _____	Type of Accommodation (Optional) : <input type="checkbox"/> Self-owned <input type="checkbox"/> Mortgaged <input type="checkbox"/> Rented <input type="checkbox"/> Public housing <input type="checkbox"/> Staff dormitory <input type="checkbox"/> Others ( Please specify ) _____		
Name of Employer* :	Employed Since* (dd/mm/yyyy) :	Employer's Address* :		

Status of Employment* : <input type="checkbox"/> Full Time <input type="checkbox"/> Part Time <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Others _____	Position* (Eg. business managers, technicians, sales representatives, etc.) :	Profession/ Occupation/ Nature of Business ( Please describe in detail, Eg. toy trade, catering business, etc. ) * :								
Education Level ( Optional ) :	<input type="checkbox"/> Above University or Professional Qualification <input type="checkbox"/> University <input type="checkbox"/> Post Secondary <input type="checkbox"/> Secondary <input type="checkbox"/> Primary level or below									
Annual Income (HKD equivalent)* :	<input type="checkbox"/> <180,000 <input type="checkbox"/> 180,000-300,000 <input type="checkbox"/> 300,001-600,000 <input type="checkbox"/> 600,001-1,000,000 <input type="checkbox"/> >1,000,000									
Annual Household Income (HKD equivalent)* :	<input type="checkbox"/> <180,000 <input type="checkbox"/> 180,000-300,000 <input type="checkbox"/> 300,001-600,000 <input type="checkbox"/> 600,001-1,000,000 <input type="checkbox"/> >1,000,000									
Form of Initial Funds*	<input checked="" type="checkbox"/> Remittance									
Funding Source*	<input checked="" type="checkbox"/> Account holder									
Initial Funds Generated From*	<input type="checkbox"/> Salary <input type="checkbox"/> Business Income <input type="checkbox"/> Commission/Allowance <input type="checkbox"/> Investment Income <input type="checkbox"/> Rental Income <input type="checkbox"/> Pension/Social Welfare/Compensation <input type="checkbox"/> Others ( Please specify ) _____									
Origin Place of Initial Funds *	<input checked="" type="checkbox"/> Mainland China									
Subsequent Funds Generally Expected from * :	<input type="checkbox"/> Salary <input type="checkbox"/> Business Income <input type="checkbox"/> Commission/Allowance <input type="checkbox"/> Investment Income <input type="checkbox"/> Rental Income <input type="checkbox"/> Pension/Social Welfare/Compensation <input type="checkbox"/> Others ( Please specify ) _____									
Origin Place of Subsequent Funds* :	<input checked="" type="checkbox"/> Mainland China									
Source of Wealth/Income * :	<input type="checkbox"/> Ownership of Business <input type="checkbox"/> Employment <input type="checkbox"/> Inheritance <input type="checkbox"/> Personal Saving <input type="checkbox"/> Sales of Asset <input type="checkbox"/> Investments <input type="checkbox"/> Others ( Please specify ) _____									
Origin Place of Wealth/Income* :	<input type="checkbox"/> Mainland China <input type="checkbox"/> Hong Kong China <input type="checkbox"/> Others ( Please specify ) _____									
Destination Place of Initial Funds* :	<input type="checkbox"/> Mainland China <input type="checkbox"/> Hong Kong China									
Destination Place of Subsequent Funds* :	<input type="checkbox"/> Mainland China <input type="checkbox"/> Hong Kong China									
Destination Place of Wealth/Income* :	<input type="checkbox"/> Mainland China <input type="checkbox"/> Hong Kong China <input type="checkbox"/> Others ( Please specify ) _____									
Purpose of Account :	<input type="checkbox"/> Savings <input type="checkbox"/> Investment									
	Expected monthly number of transaction					Expected monthly value of transaction (HKD equivalent amount)				
	≤10	11- 50	51-100	101- 200	>200	≤\$50,000	\$50,001 - \$200,000	\$200,001 - \$1,000,000	\$1,000,001 - \$5,000,000	≥\$5,000,001
Wire Transfer / Remittance / interbank transfer :	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Expected monthly number of transaction					Expected average account balance (HKD equivalent amount)				
	≤10	11- 50	51-100	101- 200	>200	≤\$50,000	\$50,001 - \$200,000	\$200,001 - \$1,000,000	\$1,000,001 - \$5,000,000	≥\$5,000,001
Deposit account (i.e., savings / time):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Expected foreign currency transaction (percentage)									
	< 10%		10% - 25%		26% - 50%		51% - 75%		76% - 100%	
Wire Transfer / Remittance / interbank transfer :	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	
Deposit account (i.e., savings / time):	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	
<b>C. USE OF PERSONAL DATA IN DIRECT MARKETING INSTRUCTION</b>										

Please check in the box(es) as appropriate

- I do not wish the Bank to make use of my/our personal data for its own direct marketing (excluding credit card products).  
 I do not wish the Bank to make use of my/our personal data for its own direct marketing on credit card products.

I understand that the above choice (replaces previous one, if any) applies to the direct marketing of the classes of products, services and/or subjects, kinds of personal data may be used and classes of persons to which my personal data may be provided in direct marketing as set out in the Bank's "Notice to Customers relating to the Personal Data (Privacy) Ordinance". I understand that it takes time to update the above choice.

#### D. Investment Profile Questionnaire

Please complete this questionnaire to help you understand your risk profile.

##### IMPORTANT NOTES:

This questionnaire is designed to help you consider your attitude toward investment risks. Please complete this questionnaire to help you understand your risk profile.

This questionnaire is provided by China Construction Bank (Asia) Corporation Limited ("the Bank"). It asks questions which provide some indication of the overall general attitude toward risk for a typical investor displaying the investment characteristics. It may not match your actual attitude toward investment risk, but it indicates the profile you may fit into. The results of this questionnaire are derived from information that you have provided to the Bank, and only serve as a reference for your consideration when making your own investment decisions. This questionnaire and the results are not an offer to sell or a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice. You are encouraged to consult your own independent financial advisors before making any investment decision.

The past performance of an investment product is not a guide to its future performance and yields are not guaranteed. The value of an investment product can go down as well as up and you could lose some or all of the principal amount invested. Investment products (such as securities, mutual funds, investment-linked assurance schemes, bonds, structured products, derivatives, etc) are not deposits or other obligations of, or guaranteed by, the Bank or any of its affiliates. For the risks involved in investing in the investment products, you should refer to the offering documents of the relevant investment products.

Your risk profiling category may change in reference to your current attitude toward investment risks. In view of such, you are encouraged to review your existing investment portfolio taking reference to your latest risk profiling category. Please contact your Relationship Manager if you need further assistance.

Pre-requisite Questions:

**A. Is your personal monthly disposable income\* HKD12,500 or below AND is the range of your personal net worth (excluding the value of real estate properties) HKD500,000 or below? (This question is not applicable to Private Banking customers)**

- 1  Yes                      2)  No

+ *Disposable income refers to customer's after-tax income that is available for spending and saving. Spending includes all kinds of expense, i.e. including spending on necessities.*

**B. Are you willing to accept investment products\* that involve risks\*?**

- 1)  Yes                      2)  No

+ *Investment products involve different levels of risks. Risk Level is classified from 1 to 5 by the Bank. Risk Level 1 is the most conservative while Risk Level 5 is the most aggressive. These include investment products with different features, such as principal protected or non-principal protected at maturity, different tenors / issuers / payoff mechanisms / currencies etc.*

##### Customer's Investment Profile Questions

**1. Which age group do you belong to?**

- 1)  18-24  
 2)  25-34  
 3)  35-50  
 4)  51-64  
 5)  65 or above

**2. Please indicate your highest level of education:**

- 1)  Primary or below  
 2)  Secondary  
 3)  Post-secondary  
 4)  University  
 5)  Above University or Professional Qualifications (related to Economics / Finance / Accounting)

**3. In general, what is the percentage of your disposable income\* allocated for savings or investment?**

- 1)  Less than or equal to 5%  
 2)  More than 5% but less than or equal to 10%  
 3)  More than 10% but less than or equal to 20%  
 4)  More than 20% but less than or equal to 25%  
 5)  Over 25%

+ *i.e. Disposable income refers to customer's after-tax income that is available for spending and saving. Spending includes all kinds of expense, including spending on necessities.*

**4. What is the average percentage of your personal net worth\* (excluding the value of your real estate properties) that will be allocated for investment purpose?**

- 1)  Less than or equal to 5%  
 2)  More than 5% but less than or equal to 20%  
 3)  More than 20% but less than or equal to 35%  
 4)  More than 35% but less than or equal to 50%  
 5)  Over 50%

+ *Net worth is 'Total Assets' minus 'Total Liabilities' (excluding the value of your real estate properties).*

**5. What is the maximum length of your expected investment horizon for your financial investments?**

- 1)  Less than or equal to 1 year
- 2)  Over 1 year but less than or equal to 2 years
- 3)  Over 2 years but less than or equal to 3 years
- 4)  Over 3 years but less than or equal to 5 years
- 5)  Over 5 years

**6. In terms of average monthly household expenses, how much have you reserved for income loss with cash on hand or highly liquid assets such as foreign currency and bullion?**

- 1)  Less than or equal to 3-month household expenses
- 2)  More than 3-month but less than or equal to 6-month household expenses
- 3)  More than 6-month but less than or equal to 12-month household expenses
- 4)  More than 12-month but less than or equal to 24-month household expenses
- 5)  Over 24-month household expenses

**7. Which of the following best describes your primary investment objective and attitude?**

- 1)  I primarily seek capital preservation. I can only bear little price fluctuation of my investment and wish to gain slightly higher than the rate of bank deposits.
- 2)  I primarily seek potential cash income and/or mild potential capital appreciation. I can bear moderate price fluctuation of my investment and wish to gain much better than the rate of bank deposits.
- 3)  I primarily seek potential cash income and/or potential capital appreciation. I can bear high degree of price fluctuation of my investment and wish to have gain comparable to the stock market indexes.
- 4)  I primarily seek potential cash income and/or large potential capital appreciation. I can bear any price fluctuation of my investment and wish to gain remarkably higher than the stock market indexes.

**8. Which of the following best describes your investment experience in the following investment products in the latest 3 years? #**

	Type	No Transaction@	Less than 5 Transactions@	5 or more Transactions@
(1)	Guaranteed Funds, Principal Protected Products (e.g. Certificates of Deposit, Notes), Foreign Currencies, Paper Gold	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2)	Non-complex Fixed Income Instruments, (Without Special Features*) SFC-authorized Non-complex Unit Trust/Mutual Fund, Currency Switching	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(3)	Complex Fixed Income Instruments (With Special Features* Excluding Loss Absorption Feature^)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4)	Equity or Exchange Traded Funds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(5)	Complex Unit Trust/ Mutual Fund (e.g. Derivative Fund, Non SFC-authorized Fund)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(6)	Structured Products Linked to Currency/Interest Rate (e.g. Currency-linked Deposit, Interest Rate-linked Deposit)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(7)	Structured Products Linked to Commodity/ Equity (e.g. Commodity-linked Deposit, Equity-linked Investment)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(8)	Loss Absorption Product^	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(9)	Exchange Traded Derivatives (e.g. Derivative Warrant, Stock Options, Futures & Options, Callable Bull/Bear Contracts)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(10)	Hedge Funds, Derivatives, Leveraged Products (e.g. Options, Futures, Warrants)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(11)	Margin Trading	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Note:

# Under CCBA's definition, product types (3), (5), (6), (7), (8) and (10) fall within the definition of "Complex Products".

\* According to the website of Securities and Futures Commission regarding "Non-complex and complex products", bonds with special features include but not limited to perpetual or subordinated bonds, or those with variable or deferred interest payment terms, extendable maturity dates, or those which are convertible or exchangeable or have contingent write down or loss absorption features, or those with multiple credit support providers and structures.

^ According to the HKMA's circular "Sale and Distribution of Debt Instruments with Loss-absorption Features and Related Products" dated 30 October 2018, loss absorption products refer to debt instruments with features of contingent write-down or conversion to ordinary shares on the occurrence of a trigger event and investment products that invest mainly in those debt instruments, or whose returns are closely linked to the performance of those instruments. Therefore, debt instruments with loss-absorption features are subject to the risk of being written down or converted to ordinary shares (such as recapitalizing the issuer as it goes through resolution).

@ Transactions refer to buy or new position executed trades made by the customer.

**9. Which of the following best describes your investment knowledge? #**

	Type	Knowledge	No Knowledge
(1)	Guaranteed Funds, Principal Protected Products (e.g. Certificates of Deposit, Notes), Foreign Currencies, Paper Gold	<input type="checkbox"/>	<input type="checkbox"/>
(2)	Non-complex Fixed Income Instruments, (Without Special Features*) SFC-authorized Non-complex Unit Trust/Mutual Fund, Currency Switching	<input type="checkbox"/>	<input type="checkbox"/>

(3)	Complex Fixed Income Instruments (With Special Features* Excluding Loss Absorption Feature^)	<input type="checkbox"/>	<input type="checkbox"/>
(4)	Equity or Exchange Traded Funds	<input type="checkbox"/>	<input type="checkbox"/>
(5)	Complex Unit Trust/ Mutual Fund (e.g. Derivative Fund, Non SFC-authorized Fund)	<input type="checkbox"/>	<input type="checkbox"/>
(6)	Structured Products Linked to Currency/Interest Rate (e.g. Currency-linked Deposit, Interest Rate-linked Deposit)	<input type="checkbox"/>	<input type="checkbox"/>
(7)	Structured Products Linked to Commodity/ Equity (e.g. Commodity-linked Deposit, Equity-linked Investment)	<input type="checkbox"/>	<input type="checkbox"/>
(8)	Loss Absorption Product^	<input type="checkbox"/>	<input type="checkbox"/>
(9)	Exchange Traded Derivatives (e.g. Derivative Warrant, Stock Options, Futures & Options, Callable Bull/Bear Contracts)	<input type="checkbox"/>	<input type="checkbox"/>
(10)	Hedge Funds, Derivatives, Leveraged Products (e.g. Options, Futures, Warrants)	<input type="checkbox"/>	<input type="checkbox"/>
(11)	Margin Trading	<input type="checkbox"/>	<input type="checkbox"/>

Note:

# Under CCBA's definition, product types (3), (5), (6), (7), (8) and (10) fall within the definition of "Complex Products".

\* According to the website of Securities and Futures Commission regarding "Non-complex and complex products", bonds with special features include but not limited to perpetual or subordinated bonds, or those with variable or deferred interest payment terms, extendable maturity dates, or those which are convertible or exchangeable or have contingent write down or loss absorption features, or those with multiple credit support providers and structures.

^ According to the HKMA's circular "Sale and Distribution of Debt Instruments with Loss-absorption Features and Related Products" dated 30 October 2018, loss absorption products refer to debt instruments with features of contingent write-down or conversion to ordinary shares on the occurrence of a trigger event and investment products that invest mainly in those debt instruments, or whose returns are closely linked to the performance of those instruments. Therefore, debt instruments with loss-absorption features are subject to the risk of being written down or converted to ordinary shares (such as recapitalizing the issuer as it goes through resolution).

Under the categorization below, your risk profiling category is assessed as:

If applicable	Risk Profiling Category	Description
<input type="checkbox"/>	Conservative	Generally, you are willing to accept lower investment returns in exchange for a higher degree of stability and certainty; and/or have little or limited expertise and experience in investment.
<input type="checkbox"/>	Low Risk	Generally, you have some experience and knowledge in financial investment; are willing to accept some investment risks in exchange for a potentially higher but relatively stable return; and/or have tendency to develop a lower risk investment portfolio.
<input type="checkbox"/>	Medium Risk	Generally, you have reasonable expertise or experience in financial investment; are willing to accept considerable investment risk in exchange for a potentially higher return; and/or have sound financial capability to absorb the corresponding investment loss.
<input type="checkbox"/>	Growth	Generally, you have considerable expertise or experience in financial investment; are willing to accept significant investment risk in exchange for a potentially significant return; and/or have strong financial capability to bear loss from high-risk investment.
<input type="checkbox"/>	Aggressive	Generally, you demonstrate your strong preference, expertise or experience in high-risk, structured or leveraged products; are willing to accept significantly high investment risk in exchange for a potentially substantial return; and/or have solid financial capability to bear loss in high-risk investment.

I confirm that the information provided in this questionnaire is correct and complete; and I agree with the result of this Investment Profile Questionnaire.

#### E. CUSTOMER'S AGREEMENT WITH VULNERABLE CUSTOMER ASSESSMENT RESULT

For the application of Wealth Management Connect, please provide the following information for the Bank to identify your vulnerable status and conduct a vulnerable customer assessment.

1) Do you have observable disabilities (e.g. incapacitated, visually impaired, hearing impaired, etc.)?

- No  
 Yes

2) Are you a) Aged 65 or above and/or b) Education level at primary level or below and/or c) Low income & net worth?

- No (Please go to "Part F Wealth Management Connect Mutual Funds Investment Account Application")  
 Yes (Please continue to complete question 3 at below)

Customer's Agreement with Vulnerable Customer Assessment Result

Not Applicable

3) Have you had investment experience in our bank and/or other financial institution(s) outside our bank in the past year? Generally, if customers have investment experience (for example, they have purchased funds in bank in Mainland, whether it is Complex Product or non-Complex Product), they will be regarded as having investment experience for non-Complex Product. Customers can inquire about the definition of Complex Product or

non-Complex Product from our bank.

**Vulnerable Customer ("VC") Assessment Result**

<input type="checkbox"/> <b>Yes</b>	Vulnerable Customer for complex investment product only
<input type="checkbox"/> <b>No</b>	Vulnerable Customer

The Bank accepts Vulnerable Customer for complex investment product only as an investor in Wealth Management Connect Southbound Service. The Bank does not accept Vulnerable Customer as an investor in Wealth Management Connect Southbound Service.

**Customer Declaration :**

I **agree** with the assessment result and I understand the purpose of the VC Assessment and the consequence of being classified as a VC, VC for complex investment product only or non-VC.

I **disagree** with the assessment result and I understand the purpose of the VC Assessment and the consequence of being classified as a VC, VC for complex investment product only  
( Not applicable to customers who meet two or more of the three items of a, b and c in Question 2 )

If you disagree with the Vulnerable Customer assessment result, please provide the reason below:

Please note that if you disagree the Vulnerable Customer Assessment result, the final assessment result is unconfirmed yet. If the final result of Vulnerable Customer Assessment is non-Vulnerable Customer / Vulnerable Customer for complex investment product only, you are eligible to apply for Wealth Management Connect. If the final result of Vulnerable Customer Assessment is Vulnerable Customer, you are not eligible to apply for Wealth Management Connect.

**F. Wealth Management Connect Mutual Funds Investment Account Application**

**Consent to the Bank referring to Customer's Deposit Account Information**

I  agree /  do not agree the Bank to refer to my deposit account information for discussions with me about the Bank's investment and wealth management services.

Please answer all questions:

- Nationality :  
\_\_\_\_\_
- Name of Employer and Job Title:  
\_\_\_\_\_
- Are you the ultimate beneficial owner of the account?  
 Yes  No (Please provide details of the ultimate beneficial owner & the reason of opening such account under your name.)
- Are you ultimately responsible for originating/giving instructions for the trading of the account?  
 Yes  No (Please provide details of the one who is ultimately responsible for originating/giving instructions & the reason of opening such account under your name.)  
\_\_\_\_\_
- Are you a Licensed Person under the Securities and Futures Ordinance and/or a Relevant Individual as defined under section 20(10) of the Banking Ordinance?  
 Yes ((Please provide further details)  No  
\_\_\_\_\_
- Are you an employee of any (i) Licensed Corporation under the Securities and Futures Ordinance and/or (ii) Registered Institution under the Banking Ordinance?  
 Yes (Please provide name and address of employer, as well as written consent from employer to trade with this account)  No

#### Risk Disclosure

Please read the following carefully in conjunction with the risk disclosure statements as referred to in the documents relevant to the account(s) opened under this Account Opening Form, including but not limited to the "Investment Services Terms and Conditions" (including "Risk Disclosure Statements for Investment Services") and Terms and Conditions for "Wealth Management Connect Southbound Service" (including "Appendix – Risk Disclosure and Other Information"). Please ask questions and take independent advice as needed. Please check in the  as appropriate.

**Mutual Funds Investment**

The past performance of a mutual fund is not a guide to its future performance and yields are not guaranteed. The value of an investment can go down as well as up and you could lose some or all of the principal amount invested. For a fund that involves derivatives, the investments of the fund are subject to, among other risks, counterparty and credit risks of the issuers of such investments. You should refer to the prospectus of the relevant funds (including risk factors) before subscription. Funds are not deposits or other obligations of, or guaranteed by, the Bank or any of its affiliates. You should read and understand the Risk Disclosure Statements for Investment Services for details.

#### G. Pairing of Designated Mainland Remittance Account for Wealth Management Connect Southbound Service

I am now applying for the "Wealth Management Connect Southbound Service", and my account with China Construction Bank Corporation will be used as a pairing account for the "Wealth Management Connect Southbound Service".

Account Number : \_\_\_\_\_

#### H. Consent to the Cross-Boundary Transfer of Personal Data

**For the purposes of providing the Wealth Management Connect Southbound Service to me, the Bank may transfer my personal and account information, including but not limited to my name, contact details, account information, cross-border fund transfer information, position information and account status, outside Hong Kong to China Construction Bank Corporation, as the Cooperating Bank, situated in Mainland China, where there may not be in place data protection laws which are substantially similar to, or serve the same purposes as, the Personal Data (Privacy) Ordinance. That means my personal data may not be protected to the same or similar level in Hong Kong. The Bank may also transfer my personal data and account information to the relevant regulatory authorities in Mainland China and Hong Kong to comply with the Applicable Requirements.**

I consent to the transfer of my personal data and account information of the Wealth Management Connect Southbound Service outside Hong Kong to the Cooperating Bank, and the relevant regulatory authorities in Mainland China and Hong Kong to comply with the Applicable Requirements.

#### I. Customer's Declarations for the Wealth Management Connect Southbound Service

Capitalised terms used in this Application Form shall have the same meanings as those defined in the Terms and Conditions for Wealth Management Connect Southbound Service unless otherwise defined herein.

1. I, the undersigned, with my particulars set out above, confirm that I have read and understood and agree to be bound by the following terms and conditions for my use of the Wealth Management Connect Southbound Service (to the extent applicable):

- a. this Application Form;
- b. the "Terms and Conditions for Wealth Management Connect Southbound Service" (including the "Appendix – Risk Disclosure and Other Information");
- c. the "Terms and Conditions for Accounts and Related Services (For Individuals)";
- d. the "Terms and Conditions for Investment Services" and the "Risk Disclosure Statements for Investment Services";
- e. the "Important Notice to Customers for Mutual Fund Investment Services";
- f. the "Terms and Conditions for Online Banking Services";
- g. the "eStatement/eAdvice Service Terms and Conditions" (applicable to banking accounts);
- h. the "Schedule of Service Fees";
- i. the "Notice to Customers relating to the Personal Data (Privacy) Ordinance"; and
- j. other terms and conditions applicable to the Wealth Management Connect Southbound Service as agreed between the Bank and me from time to time,

(collectively, "**Terms**"), a copy of each of which is annexed to this Application Form.

2. I confirm that I have received or obtained by myself, and read the current version of the Terms in the language of my choice (English or Chinese), and fully understood the provisions of the Terms, and agree that the relationships and all transactions and dealings between the Bank and me under the Wealth Management Connect Southbound Service are subject to and governed by the Terms (as amended from time to time) including this Application Form. I have been invited to read all the risk disclosure statements (including but not limited to the "Risk Disclosure Statements for Investment Services" and the "Appendix – Risk Disclosure and Other Information" under the "Terms and Conditions for Wealth Management Connect Southbound Service" and I may ask questions and take independent advice as I wish. I confirm that the Bank may amend the Terms from time to time and I agree to comply with and be governed and bound by the Terms so amended.

3. I confirm that:

- a) I am a Mainland resident in the Greater Bay Area<sup>1</sup> and hold a valid residential permit or other legal proof;
- b) I meet the eligibility requirements prescribed by the Bank and the Applicable Requirements for the Wealth Management Connect Southbound Service from time to time;
- c) apart from the Mainland Remittance Account with the Cooperating Bank and the Wealth Management Connect Investment Account with the Bank, I do not hold any other accounts with the Bank or other banks or financial institutions in Hong Kong or Mainland China for the purpose of the Wealth Management Connect Southbound Service. In other words, I only have one Mainland Remittance Account and one Wealth Management Connect Investment Account under the Wealth Management Connect Southbound Service;
- d) for the purpose of the Wealth Management Connect Southbound Service, my account in the Cooperating Bank in Mainland China set out in Part G above shall be deemed and referred to as my Mainland Remittance Account;
- e) I can only pair my Mainland Remittance Account with my Wealth Management Connect Investment Account for cross-boundary fund transfer and remittance in RMB under a closed-loop funds flow channel for the sole purpose of the Wealth Management Connect Southbound Service, subject to any applicable aggregate and individual investor quota imposed by the Applicable Requirements and other requirements as the Bank may specify from time to time;
- f) I will inform the Bank immediately of any change in my status that may affect my eligibility to maintain the Wealth Management Connect Investment Account;
- g) I am using my own funds and have not raised funds from others for the purpose of the Wealth Management Connect Southbound Service; and
- h) I consent to the Bank to obtain my personal data and account information of the Wealth Management Connect Southbound Service from the Cooperating Bank from time to time for the purpose of providing the Wealth Management Connect Southbound Service to me.

4. I acknowledge and confirm that:

- a) I shall comply with all the Applicable Requirements for the Wealth Management Connect Southbound Service (which are subject to change from time to time without prior notice);
- b) I will not use the Wealth Management Connect Southbound Service in any way that is illegal;
- c) I understand and am willing to take the risks relating to the Wealth Management Connect Southbound Service (including all the risk disclosure statements contained in the Terms (including but not limited to the "Risk Disclosure Statements for Investment Services" and the "Appendix – Risk Disclosure and Other Information" under the "Terms and Conditions for Wealth Management Connect Southbound Service");
- d) I shall seek independent professional advice and undertake my own assessment before entering into any transaction under the Wealth Management Connect Southbound Service;
- e) I understand that the requirements, features or risks or the Applicable Requirements of the Wealth Management Connect Southbound Service set out in all the risk disclosure statements in the Terms (including but not limited to the "Risk Disclosure Statements for Investment Services" and the "Appendix – Risk Disclosure and Other Information" under the "Terms and Conditions for Wealth Management Connect Southbound Service") are based on the Bank's current understanding of the Applicable Requirements and the listed risks are not exhaustive. I have the responsibility to observe and understand other relevant risks and changes in the applicable laws and regulations in relation to the Wealth Management Connect Southbound Service. Before registering for the Wealth Management Connect Southbound Service, I shall make sure that I have acknowledged and understood the risks and nature of the Wealth Management Connect Southbound Service, and take due consideration and seek independent professional advice as necessary;
- f) I understand that my Wealth Management Connect Investment Account is opened and maintained with the Bank in Hong Kong for the purpose of investment in the Eligible Products in Hong Kong; and my Mainland Remittance Account is opened and maintained with the Cooperating Bank for the purpose of pairing with my Wealth Management Connect Investment Account for cross-boundary fund remittance under the Wealth Management Connect Southbound Service;
- g) the Terms are my agreement with the Bank for the Wealth Management Connect Investment Account and the Wealth Management Connect Southbound Service. The operation of my Mainland Remittance Account is subject to the terms and conditions applicable to such account provided by the Cooperating Bank;
- h) I understand that the Cooperating Bank is incorporated in Mainland China and is not an authorized institution in Hong Kong as defined in the Banking Ordinance (Cap. 155 of the Laws of Hong Kong) and is not subject to the supervision of the Hong Kong Monetary Authority. The Cooperating Bank cannot carry on any banking business or business of taking deposits in Hong Kong. Any deposits maintained with the Cooperating Bank are not protected under the Deposit Protection Scheme in Hong Kong;
- i) I understand that my Wealth Management Connect Investment Account can only be used strictly for the sole purpose of the Wealth Management Connect Southbound Service, and cannot be used for any other purposes or functions which may otherwise be applicable to a bank account opened and maintained with the Bank;
- j) I understand that I must ensure that all assets held in my Wealth Management Connect Investment Account (or any part thereof) must be free from any charge, lien or other security interests or encumbrances or claims in favour of any other person;
- k) I understand that RMB is currently not freely convertible and the conversion of RMB is subject to the Applicable Requirements;
- l) I understand that cross-boundary remittance of RMB between my Wealth Management Connect Investment Account and my Mainland Remittance Account is subject to the Applicable Requirements (including any applicable quota) and other requirements prescribed by the Bank from time to time;
- m) If I breach any Applicable Requirements (such as when the funds in my Wealth Management Connect Investment Account are mistakenly transferred to an account in breach of the Applicable Requirements), I will rectify such breach by taking such actions as prescribed by the Bank (which may include depositing funds into my Wealth Management Connect Investment Account);
- n) I understand that where the Bank reasonably considers that I am in breach, or may be in breach, of any Applicable Requirements, the Bank will file a report with the Authorities immediately and take such further actions as requested by the Authorities, including but not limited to suspending or terminating my use of the Wealth Management Connect Southbound Service and the Wealth Management Connect Investment Account, disposing of the Eligible Products held by me, and allowing me to hold the Eligible Products in my Wealth Management Connect Investment Account until redemption at maturity while forbidding me from

<sup>1</sup> Greater Bay Area means the Guangdong-Hong Kong-Macao Greater Bay Area, which comprises the nine municipalities of Guangzhou, Shenzhen, Zhuhai, Foshan, Huizhou, Dongguan, Zhongshan, Jiangmen and Zhaoqing in the Guangdong Province, Hong Kong and the Special Administrative Region of Macao. The list of municipalities in the Greater Bay Area is subject to the Applicable Requirements from time to time.



- purchasing any new Eligible Products;
- o) I am responsible for all costs, expenses and taxes incurred in connection with the Wealth Management Connect Southbound Service and agree to indemnify the Bank on demand from and against all losses, costs, expenses and taxes which the Bank incurs in connection with my use of the Wealth Management Connect Southbound Service;
  - p) the Bank is not responsible for advising or handling any tax issues in connection with the Wealth Management Connect Southbound Service, and will not provide any service or assistance in relation to tax issues;
  - q) all the information provided by me to the Bank in connection with the Wealth Management Connect Southbound Service is, and will remain, true, accurate, correct and complete;
  - r) I will immediately notify the Bank in writing if my Mainland Remittance Account is suspended, terminated or otherwise changed in a way which may affect the Wealth Management Connect Southbound Service.
  - s) I will provide the Bank with such information and documentary evidence (to the Bank's satisfaction) as the Bank may require from time to time for the purpose of verifying my identity and providing the Wealth Management Connect Southbound Service;
  - t) the Bank can liaise with, and rely on information provided by, the Cooperating Bank that opened my Mainland Remittance Account for the purpose of verifying my identity and my Mainland Remittance Account, and providing the Wealth Management Connect Southbound Service;
  - u) I understand that, for the purpose of complying with the Applicable Requirements or any other reasons or if I breach any of the representations and undertakings above, the Bank may at any time change, suspend or terminate the Wealth Management Connect Southbound Service without prior notice or giving any reason; and
  - v) I will not authorize any third party to operate my Wealth Management Connect Investment Account.

5. Customer's declarations in relation to Wealth Management Connect mutual funds investment account:

Capitalized terms used in this paragraph shall have the same meanings as those defined in the "Terms and Conditions for Investment Services" and the "Risk Disclosure Statements for Investment Services".

- a) I hereby request and authorize the Bank to open the Wealth Management Connect mutual funds investment account.
- b) In relation to the Wealth Management Connect mutual funds investment account, this Application Form together with (where applicable) the "Terms and Conditions for Investment Services" including the Schedules thereto, Terms and Conditions for Accounts and Related Services (For individuals) and/or other applicable documents as specified by the Bank from time to time shall form part of the agreement governing the account relationship between me and the Bank in respect of the Account(s) and Services.
- c) I certify that all the information given in this Application Form is true and complete. I will promptly notify the Bank in writing if there is any change to such information.
- d) I confirm that the applicable risk disclosure statements set out in this Application Form and paragraph 2 above have been provided in a language of my choice (English or Chinese) (including but not limited to the "Risk Disclosure Statements for Investment Services", and the "Appendix – Risk Disclosure and Other Information" in the "Terms and Conditions for Wealth Management Connect Southbound Service"). I further confirm that I have been invited to read them carefully, ask questions and take independent advice if I wish. I confirm that I have received, read, understood and accepted the risk disclosure statements specified in paragraph 2 above.
- e) I have obtained by myself, read and understood the latest Schedule of Service Fees for General Banking Services and investor education leaflet/booklet, including but not limited to "Know your Rights in the Sales Process", "How to Read Product Key Facts Statements", "Important Notice to Customers for Mutual Fund Investment Services". I acknowledge that I could obtain by myself the above documents from [www.asia.ccb.com](http://www.asia.ccb.com).
- f) I acknowledge that the Bank is the authorized distributor/agent (if applicable) of the issuer of the Wealth Management Connect mutual fund product and this product is a product of such product issuer but not the Bank. In respect of an eligible dispute (as defined in the Terms of Reference for the Financial Dispute Resolution Centre under the Financial Dispute Resolution Scheme) arising between the Bank and the customer out of the selling process or processing of the related transaction, the Bank will enter into a Financial Dispute Resolution Scheme process with the customer; however, any dispute over the contractual terms of such product should be resolved directly between the product issuer and the customer.
- g) (For Vulnerable Customer assessment) I hereby confirm that I understand the purpose of the Vulnerable Customer (VC) assessment and the consequence of being classified as a VC for complex products only or non-VC. I would still agree to proceed with the application for Wealth Management Connect Southbound Service.
- h) I confirm that I have received, read and understood the relevant account opening documents provided in a language of my choice (English or Chinese) and agree to be bound thereby.

6. This paragraph is supplemental to and does not limit the Bank's right to collect, use, process, store, disclose or otherwise deal with my information in accordance with the Privacy Policy.

I agree and authorise the Bank to collect, use or otherwise process the information I provide (either to the Bank or to the Cooperating Bank) in connection with the Wealth Management Connect Southbound Service, including but not limited to my basic personal information, information relating to my identity, contact details, financial resources, and transaction-related information (such as the inflow and outflow of funds to and from my Wealth Management Connect Investment Account, the trading of Eligible Products (including type and value of the transactions I undertake), the interest or dividend income I receive and my assets which are received or held by the Bank under the Wealth Management Connect Southbound Service) ("Customer Information") for the purpose of the Wealth Management Connect Southbound Service and/or for compliance with the Applicable Requirements in accordance with the Privacy Policy.

I agree that the Bank may disclose the Customer Information for the purpose of the Wealth Management Connect Southbound Service and/or for compliance with the Applicable Requirements in accordance with the Privacy Policy to:

- a) the Cooperating Bank that opened and operates my Mainland Remittance Account;
- b) the Bank's group members and its service providers;
- c) any Authorities to comply with the Applicable Requirements (such as meeting any aggregate or individual investor quota prescribed by the Applicable Requirements and/or complying with legal or regulatory requirements);
- d) other third parties which are contracted with the Bank for providing services in relation to the Wealth Management Connect Southbound Service; and
- e) other third parties as permitted by, and for such purposes according to the Privacy Policy.

I agree that the Bank may keep the Customer Information for such period of time as the Bank reasonably considers appropriate to comply with the Applicable Requirements; and may store the Customer Information locally and/or in Mainland China.

I acknowledge that I may, by contacting the Bank through the complaints channel(s) prescribed in the Terms and Conditions for Wealth Management Connect Southbound Service, exercise my rights in respect of the Customer Information. In respect of Customer Information disclosed to the Cooperating Bank, I acknowledge that I may contact the Cooperating Bank through the channels disclosed in its website ([www.ccb.com](http://www.ccb.com)).

7. I confirm that I have read and understood this Application Form and the documents mentioned herein and confirm that the information provided by me in this Application Form is complete, accurate, true and not misleading. If there is any change on the information provided, I will notify the Bank immediately in writing.
8. I shall inform the Bank in writing if:
- (a) I am/was (within the past 12 months) a director/a substantial shareholder/chief executive/employee of any member of China Construction Bank Group ("CCB Group") or \*relative of or trustee for any such director/substantial shareholder/chief executive/employee; or
  - (b) I am or become in any way connected with:
    - (i) a director of the Bank or of any of the Bank's subsidiaries and/or associated companies; or
    - (ii) an entity controlling 10% or more of the shares of the Bank or any director of such entity; or
    - (iii) an indirect controller of the Bank or any director of such indirect controller.

9. CERTIFICATION OF U.S. CITIZENSHIP / TAX RESIDENCY (INDIVIDUALS)

I, \_\_\_\_\_, Account Holder, certify that:

- I am not a U.S. Person (including a U.S. Citizen / U.S. Green Card holder / U.S. Tax Resident / U.S. Resident)
- I am a U.S. Person (including a U.S. Citizen / U.S. Green Card holder / U.S. Tax Resident / U.S. Resident)

- All the information given above is true, correct and complete. If there is any change in connection to this Certification, I will promptly notify the Bank in writing within 30 calendar days and submit a new Certification.
- I agree that the Bank may collect, use, disclose and process my personal data for the purposes of this Certification.
- I agree that the Bank may disclose any information herein (including providing this Certification) to any third parties including any overseas government authority for the purposes of confirming or investigating the contents of this Certification.
- Regarding the Foreign Account Tax Compliance Act (FATCA)\*

Additional Passport Number	Issuing Country	Expiry Date	Nationality (Others, if any)

\*If you are resident in a FATCA partner jurisdiction (that is, a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

10. Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") \*

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) the jurisdictions of residence.

If the Individual account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

If a TIN is unavailable, provide the appropriate reason A, B or C :

- Reason A** – The Jurisdiction where the account holder is a resident for tax purpose does not issue TINs to its residents.
- Reason B** – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.
- Reason C** – TIN is not required. Select this reason only if the authorities of the Jurisdiction of residence do not require the TIN to be disclosed.

If the account holder is a tax resident in one or more jurisdictions, please provide all in the table below.

Jurisdiction of Residence	TIN (If the Account Holder is a tax resident of China mainland, the TIN is the Chinese Identity Card Number)	Enter Reason A, B or C if no TIN is available	Explain why the account holder is unable to obtain a TIN if you have selected Reason B
<i>Example: China</i>	<i>123456781234567812</i>		
(1)			
(2)			
(3)			
(4)			
(5)			

Declarations For Automatic Exchange of Financial Account Information

I acknowledge and agree that (i) the information contained in this form is collected and may be kept by China Construction Bank (Asia) Corporation Limited for the purpose of automatic exchange of financial account information, and (ii) such information and information regarding the account holder and any reportable account(s) may be reported by China Construction Bank (Asia) Corporation Limited to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with 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 certify that I am the account holder/ I am authorized to sign for the account holder of all the account(s) to which this form relates ^.

I undertake to advise China Construction Bank (Asia) Corporation Limited of any change in circumstances which affects the tax residency status of the individual identified in of this form or causes the information contained herein to become incorrect, and to provide China Construction Bank (Asia) Corporation Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

**I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.**

**WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).**

**J. Signing**

This document is an important agreement. Please read and understand this document and all the terms and conditions mentioned in it carefully, and seek appropriate independent legal advice before signing this document.

<b>Account Holder's Signature ^</b>	<b>Date</b>
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^ I confirm that unless any change has been made pursuant to the "Change of Specimen Signature/ Change of Account Title Form for Personal Customer", my specimen signature(s)/ chop(s) set out in my first All-In-One Account Opening Form(s) or Personal Account Opening Form(s) shall be conclusive evidence of my specimen signature(s)/ chop(s) until notification from me in writing to the contrary.

只供建行内部使用			
见证人声明			
<ul style="list-style-type: none"><li>本户口申请表及其他有关文件的副本已提供给客户。</li><li>已核实客户具有参与南向通的内地投资者资格。</li></ul>			
见证人签署/私章	见证审核人签署/私章	业务专用章	表格编码

见证网点/机构全名: \_\_\_\_\_

见证人公司电话: \_\_\_\_\_

见证人手机号码: \_\_\_\_\_

见证人电邮地址: \_\_\_\_\_

Date \_\_\_\_\_

S.V.

供建行(亚洲)内部使用 FOR CCB (ASIA) USE ONLY	
CIF No.	

<b>FOR RCS:</b>					
Prepared & signature verified by:	Account opening approved by:		Br. Report Verified		TA/CIF Maint.
			CIF	TA	Input by
"All-In-One Signed" <input type="checkbox"/> Y	Branch Code	Officer Code	Customer Classification	Country of Risk	Nationality Ho Domicile
<input type="checkbox"/> AML Checked	Country of Residence	Sp Bus Type (PEP)	US Green Card <input type="checkbox"/> Y	Zip Code	NAICS
Declare US <input type="checkbox"/> Y <input type="checkbox"/> N	Self Cert.:  Signed Date:	Country Code of Mailing Address:	Country Code of Residential Address:	Country Code of Permanent Address:	Country Code of Tel (Home):
Country Code of Tel (Office):	Country Code of Tel (Mobile):				

<b>VC Assessment Result</b>			
Handling Officer:  Signature: _____  Name: _____  Branch: _____  SDS Registration No.: _____  Date: _____  Justification and other relevant info: _____ _____	Reviewed by:  Signature: _____  Name: _____  Position: <input type="checkbox"/> BM <input type="checkbox"/> CM <input type="checkbox"/> DM  Date: _____  Remark: _____	For client disagrees only Approved by:  Signature: _____  Name: _____  Position: <input type="checkbox"/> BM <input type="checkbox"/> CM <input type="checkbox"/> DM  Date: _____  Remark: _____	_____ - Final VC status: <input type="checkbox"/> Non-VC <input type="checkbox"/> VC <input type="checkbox"/> VC Complex

<b>Investment Account Opening</b>	
<i>Client Appropriateness Checklist (to be completed by CCBA Account Opening Branch)</i>	
1.	Does the client have a valid IPQ record? <input type="checkbox"/> Yes (Provide the date) <input type="checkbox"/> No (Don't proceed) IPQ Completion Date: _____ (DD/MM/YY)
2.	Is the client an U.S. citizen, U.S. resident, U.S. domestic partnership/companies? <input type="checkbox"/> Yes (Don't proceed) <input type="checkbox"/> No
3.	Does the client have a valid ID record and valid residential address proof record? <input type="checkbox"/> Yes <input type="checkbox"/> No (Obtain ID copy or/and residential address proof copy from the client)
4.	Is the client a Vulnerable Customer for non-complex products? <input type="checkbox"/> Yes (Don't proceed) <input type="checkbox"/> No
5.	Is the client or his / her employer a Licensed / Registered Person?

Yes and the Employer's consent is required & obtained before proceed  No

*(For Branch)*

CIF Number _____	Nationality _____	Country of Residency	Branch Code
		Securities Dealing Staff Code	Officer Code
(For Mutual Funds Investment Only) Client Type: Blank / 8 / V / P / C / S / N / M / L / R / I Account Type: General / Staff			
Mutual Funds Investment A/C No.	Input by (for Mutual Funds Investment A/C only)	Approved by (Authorized Signatory)	
		HKMA Registration No.	
		Reviewed by	
<i>For Mutual Fund Settlement (Authorization to Refer to Customer's Deposit Account Information Flag)</i>			
Manual Update Consent Flag & Date	Input by	Verified by	
<i>(For RCS (Portfolio Statement))</i>			
Statement Input by		Statement Verified by	