

Stock A/C No.: \_\_\_\_\_  
股票賬戶號碼  
Stock Option A/C No.: \_\_\_\_\_  
股票期權賬戶號碼  
Futures A/C No.: \_\_\_\_\_  
期貨賬戶號碼  
Asset Management A/C No.: \_\_\_\_\_  
資產管理賬戶號碼



## ACCOUNT OPENING APPLICATION FORM (COMPANY ACCOUNT)

開 戶 申 請 書  
( 公 司 )

【    】 WONDERLAND INTERNATIONAL SECURITIES LIMITED  
華 德 國 際 證 券 有 限 公 司

【    】 WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED  
華 德 國 際 資 產 管 理 有 限 公 司

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## Required Documentation for Opening Corporate Account

### 開立公司賬戶所需的文件

#### Hong Kong Registered Corporation

##### 香港註冊公司

1. Certified copy of Certificate of Incorporation;  
公司成立證書的經簽署證明複印本；
2. Certified copy of valid Business Registration;  
公司有效的商業登記證書的經簽署證明複印本；
3. Certified true copy of annual returns certified by Companies Registry, which the report should have been issued within the last 6 months;  
公司註冊處的周年申報表的認證副本，該報告應在過去六個月內簽發；
4. Certified copy of Memorandum & Articles of Associations;  
公司組織大綱及章程的經簽署證明複印本；
5. Board minutes approving opening of account and authorized persons;  
有關批准開戶及授權人士之會議記錄；
6. Certified copies of personal identification document of directors and the authorized persons;  
所有董事及獲授權處理賬戶人士的個人身份證明文件的經簽署證明複印本；
7. Organisation Chart of the company certified by a director;  
經公司董事認證的公司組織圖；
8. Certified copies of personal identification document and residential address proof dated within the last three months of all shareholders holding 25% or more of the voting rights or share capital.  
所有持有公司 25% 或以上投票權或股本的股東的個人身份證明文件的經簽署證明複印本及最近三個月內的住址證明。

#### Overseas Registered Corporation

##### 海外註冊公司

1. Certified copy of Certificate of Incorporation;  
公司成立證書的經簽署證明複印本；
2. Certified true copy of a certificate of incumbency certified by an overseas company registry (or similar for company incorporated) or professional third, which the report should have been issued within the last 6 months;  
海外公司註冊處或專業第三者認證的職權證明書的認證副本，該報告應在過去六個月內簽發；
3. Certified copies of Register of members and directors  
股東及董事登記冊的認證副本；
4. Certified copy of Memorandum & Articles of Associations;  
公司組織大綱及章程的經簽署證明複印本；
5. Board minutes approving opening of account and authorized persons;  
有關批准開戶及授權人士之會議記錄；
6. Certified copies of personal identification document of directors and the authorized persons ;  
所有董事及獲授權處理賬戶人士的個人身份證明文件的經簽署證明複印本；
7. Organisation Chart of the company certified by a director;  
經公司董事認證的公司組織圖；
8. Certified copies of personal identification document and residential address proof dated within the last three months of all shareholders holding 25% or more of the voting rights or share capital.  
所有持有公司 25% 或以上投票權或股本的股東的個人身份證明文件的經簽署證明複印本及最近三個月內的住址證明。

Documents above should be in the presence of a Lawyer, a Notary Public, a Certified Public Accountant, a branch manager of a bank, or any SFC licensed or registered person.

以上文件需律師 / 公證人/執業會計師/銀行分行經理或任何證監會持牌人或註冊人見證

The above list may not be comprehensive, additional proof of identity documentation may be required and to the satisfaction of the Manager and / or the Administrator. If you are not able to provide such document or information, your subscription application may be delayed or rejected.

以上資料未能盡錄，本公司或會要求閣下提供其他文件或資料以完成開戶程序並符合基金經理及/或行政管理人的規定為止。若閣下未能提供有關文件或資料，有關認購申請將可能受到延誤或被拒絕。

## CLIENT INFORMATION STATEMENT - CORPORATE

客戶資料報表-公司

☐ **WONDERLAND INTERNATIONAL SECURITIES LIMITED** 華德國際證券有限公司

☐ **WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED** 華德國際資產管理有限公司

Type of Account      ☐ Cash 現金      ☐ Corporation 公司  
戶口類別      ☐ Margin 保證金      ☐ Partnership 合伙商號  
                    ☐ Stock Option 股票期權      ☐ Sole Proprietor 獨資  
                    ☐ Futures 期貨

### A. Corporate Information 公司資料

Corporate Name in English 公司英文名稱: \_\_\_\_\_

Corporate Name in Chinese 公司中文名稱: \_\_\_\_\_

Certificate of Incorporation No. 公司註冊證書編號: \_\_\_\_\_

Business Registration No. 商業登記編號: \_\_\_\_\_ Country of Incorporation 註冊成立地點: \_\_\_\_\_

Registered Office 註冊辦事處: \_\_\_\_\_

Business Address 營業地址: \_\_\_\_\_

Nature of Business 業務性質: \_\_\_\_\_ No. of Years in Current Industry 從事現行業年數: \_\_\_\_\_

Office Tel 辦公室電話: \_\_\_\_\_

Fax 傳真: \_\_\_\_\_ Email 電郵: \_\_\_\_\_

Authorized Capital 法定資本: \_\_\_\_\_ Paid-up Capital 繳足資本: \_\_\_\_\_

Last Year Annual Turnover 上年度營業額: \_\_\_\_\_ No. of Employees 僱員人數: \_\_\_\_\_

### B. Shareholders Information (who owns 25% or above of the Corporate shares)

股東資料 (擁有 25% 或以上持股量)

Name 姓名	HKID Card / Passport No. 香港身份證 / 護照號碼	Shareholdings 持股量
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

### C. Information of Contact Person 聯絡人資料

Name in English 英文姓名: \_\_\_\_\_ Name in Chinese 中文姓名: \_\_\_\_\_

Current Position 現任職位: \_\_\_\_\_ HKID Card / Passport No. 香港身份證/護照號碼: \_\_\_\_\_

Office Tel 辦公室電話: \_\_\_\_\_ Fax 傳真: \_\_\_\_\_

Mobile 手機: \_\_\_\_\_ Email 電郵: \_\_\_\_\_

#### D. Bank Information 銀行資料

Bank Name 銀行名稱：\_\_\_\_\_

Bank Address (for overseas bank only) 銀行地址 (只適用於海外銀行戶口)：\_\_\_\_\_

Bank Account Name 銀行戶口名稱：\_\_\_\_\_

Account No. 戶口號碼：\_\_\_\_\_ Currency 貨幣：\_\_\_\_\_

Note: 1. The bank information will be treated as the standing instruction of fund withdrawal by client. (For Wonderland International Securities Ltd).

2. Redemptions and Dividends - Money will only be paid to the registered account holders. Redemptions will only be processed on accounts that have been cleared and verified. Please note that no third-party payments will be made. (For Wonderland International Asset Management Ltd)

備註: 1. 此銀行賬戶將被作為客戶之常設提款指示。(適用於華德國際證券有限公司)

2. 贖回和股息-資金只會支付給註冊賬戶持有人。只有已經驗證的帳戶才會處理贖回。請注意不會進行第三方付款。(適用於華德國際資產管理有限公司)

#### E. Declaration by client 客戶聲明

Are you acting as an intermediary for the account?

閣下是否以中介人身份操作帳戶？

☐ No 否

☐ Yes 是 Ultimate beneficiary 戶口的最終權益擁有人：\_\_\_\_\_ Relationship 關係：\_\_\_\_\_

Have you ever declared bankruptcy? 閣下曾否宣佈破產？

☐ No 否

☐ Yes, please provide date and details

是，請提供日期及詳情 \_\_\_\_\_

Are you, your immediate family member, to be close associate of, 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?

閣下、閣下的直系親屬，是否擔任重要公職，包括國家元首、政府首長、司法或軍事官員、國有企業高級行政人員及重要政黨幹事，或與他們有密切關係？

☐ No 否

☐ Yes, please specify:

是，請註明：\_\_\_\_\_

Is the Corporate in control of 35% or more of the voting rights of a company, or does the Corporate belong to the same group of companies as of another company, which maintained an account with WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED?

貴公司是否持有另一公司 35%或以上之表決權益，或屬於另一公司的集團公司成員，而該公司現正持有華德國際證券有限公司 / 華德國際資產管理有限公司的賬戶？

☐ No 否

☐ Yes, account name:

是，戶口名稱：\_\_\_\_\_

Account Number:

賬戶號碼：\_\_\_\_\_

☐ Cash Account 現金賬戶 ☐ Margin Account 保證金賬戶

#### F. Financial Background, General Disclosure & Trading Experience 財務背景、基本披露及交易經驗

Annual Income (in HK\$) 每年收入 (以港元計算)：\_\_\_\_\_

Liquid Assets (in HK\$) 流動資產 (以港元計算)：\_\_\_\_\_

Total Net Worth (in HK\$) 總資產淨值 (以港元計算)：\_\_\_\_\_

Do you have experience in securities trading? 閣下是否有股票投資經驗?

☐ No 否 ☐ Yes 是, 經驗年數 \_\_\_\_\_

Do you have investment experience in fund? 閣下是否有投資基金經驗?

☐ No 否 ☐ Yes 是

☐ Bond Fund, \_\_\_\_\_ years of experience ☐ PE Fund, \_\_\_\_\_ years of experience ☐ Mutual Fund, \_\_\_\_\_ years of experience  
債券基金, 經驗年數 \_\_\_\_\_ 私募基金, 經驗年數 \_\_\_\_\_ 共同基金, 經驗年數 \_\_\_\_\_

Do you have experience in other investment trading? 閣下是否有其他投資買賣經驗?

☐ No 否 ☐ Yes 是

☐ Futures, \_\_\_\_\_ years of experience  
期貨, 經驗年數 \_\_\_\_\_

☐ Options, \_\_\_\_\_ years of experience  
期權, 經驗年數 \_\_\_\_\_

☐ Foreign Exchange, \_\_\_\_\_ years of experience  
外匯, 經驗年數 \_\_\_\_\_

☐ Other, please specify \_\_\_\_\_ / \_\_\_\_\_ years of experience  
其他, 請註明 \_\_\_\_\_ 經驗年數 \_\_\_\_\_

Do you have experience in derivative products trading? 閣下是否有衍生產品買賣經驗? ☐ No 否 ☐ Yes 是

☐ Structured Products, \_\_\_\_\_ years of experience ☐ Derivative Warrants, \_\_\_\_\_ years of experience  
結構性產品, 經驗年數 \_\_\_\_\_ 衍生權證, 經驗年數 \_\_\_\_\_

☐ CBBCs, \_\_\_\_\_ years of experience  
牛熊證, 經驗年數 \_\_\_\_\_

☐ Other, please specify \_\_\_\_\_ / \_\_\_\_\_ years of experience  
其他, 請註明 \_\_\_\_\_ 經驗年數 \_\_\_\_\_

How much do you plan to put into Securities / Stock Option / Futures / Funds trading investment?

閣下計劃用作股票 / 股票期權 / 期貨 / 基金買賣投資的金額?

☐ Under 低於 HK\$100,000 ☐ HK\$100,000 - 499,999 ☐ HK\$500,000 - 999,999 ☐ Over 高於 HK\$1,000,000

## G. Risk Profile Questionnaire & Suitability Assessment 風險取向問卷及適合性評估

Please answer the questions below and complete a separate Client Risk Profiling Questionnaire if you have not completed this previously. For the corporate account, please complete the Questionnaire by each of the person(s) responsible for making investment decisions. Your latest Client Risk Profile Questionnaire will be provided to you upon request.

請回答以下問題, 並請另外完成「客戶風險取向問卷」, 若屬公司賬戶, 每位負責作出投資決定人士須各自回答以下問題及填寫一份「客戶風險取向問卷」。閣下可要求查閱閣下於最近期所遞交之「客戶風險取向問卷」。

What level of risk could you tolerate? (in percentage of loss in relation to your portfolio)

閣下能夠承受的風險程度? (虧損佔閣下投資組合百分比)

☐ 10% ☐ 20% ☐ 30% ☐ 40% ☐ 50% ☐ More than 超過 50%

### Risk Tolerance

風險容忍度

☐ Low 低 (1) ☐ Medium 中等 (2/3) ☐ High 高 (4)

1. Conservative  
保守型

To protect the capital even the rate of return is low or zero.  
即使回報率低或回報為零, 但起碼沒有造成資本金虧損。

2. Prudent  
審慎型

Can tolerate the maximum of 20% capital loss, and accept low rate of return.  
能夠容忍最多 20% 的虧損, 並可以接受低回報率。

3. Active  
積極型

Can tolerate the maximum of 50% capital loss to seek higher investment return.  
能夠容忍最多 50% 的虧損, 以期提升潛在的投資回報。

4. Aggressive  
進取型

Can tolerate high capital loss of more than 50% to seek predominately capital growth.  
能夠容忍重大本金虧損 (50% 以上), 以取得最高的回報。

What is your investment objective? (i) ☐ Long Term 長期投資 ☐ Medium Term 中期投資 ☐ Short Term 短期投資

閣下的投資目標是?

(ii) ☐ Speculation 投機 ☐ Hedge 對沖 ☐ Capital Appreciation 資本增值

☐ Dividend Yield 股息回報

☐ Others, please specify 其他, 請註明 \_\_\_\_\_

WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED will conduct a Suitability Assessment comparing the product risk rating against your risk tolerance level (which is derived from the latest Client Risk Profile Questionnaire you submitted and your answers to the Questions above). If there is a match, we will process the order and subject to the terms and conditions of the latest Offering Document. However, if there is a mis-match, we will not process the order when a mismatch of risks occurs unless we are able to reach you to understand your investment rationale and receive confirmation.

華德國際證券有限公司 / 華德國際資產管理有限公司會透過比較產品風險評級與閣下的風險承受程度(根據閣下所遞交最近的「客戶風險取向問卷」及閣下於以上問題之答案來進行適合性評估。如結果是相符，我們會依照有關基金銷售文件的條款繼續執行有關交易指示。然而，如結果是不相符的話，我們將不會執行產品風險評級與閣下的風險承受程度不相符的交易指示，除非我們能夠在交易前與閣下聯絡並了解閣下的投資意向及確認指示。

### Important Clause 重要條款

If WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED ("WI") solicit the sale of or recommend any financial products to Client ("you"), the financial product must be reasonably suitable for you having regard to your financial situation, investment experience and investment objectives. No other provision of this agreement or any other document WI may ask you to sign and no statement WI may ask you to make derogates from this clause.

假如華德國際證券有限公司/華德國際資產管理有限公司(「華德國際」)向客戶(「閣下」)招攬銷售或建議任何金融產品，該金融產品必須是華德國際經考慮閣下的財政狀況、投資經驗及投資目標後而認為合理地適合閣下的。本協議的其他條文或任何其他華德國際可能要求閣下簽署的文件及華德國際可能要求閣下作出的聲明概不會減損本條款的效力。

Note: "Financial product" means any securities, futures contracts or leveraged foreign exchange contracts as defined under the SFO. Regarding "leveraged foreign exchange contracts", it is only applicable to those traded by persons licensed for Type 3 regulated activity. "

註：「金融產品」《證券及期貨條例》所界定的任何證券、期貨合約或槓桿式外匯交易合約。就「槓桿式外匯交易合約」而言，其只適用於由獲得發牌經營第3類受規管活動的人所買賣的該等槓桿式外匯交易合約。

### H. Declaration and Signature(s) 聲明及簽署

I / We hereby declare and confirm that the information stated in the Client Information Statement is true, complete and correct. I / We hereby acknowledge and agree that WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED may rely on such information for all purposes, unless and until WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED receives notice in writing from me/us of any change.

本人(等)聲明及確認，本客戶資料報表內陳述的資料為真實、完整及準確。如該等資料有任何重大變更，本人(等)將通知華德國際證券有限公司 / 華德國際資產管理有限公司。本人(等)謹此確認及同意，華德國際證券有限公司 / 華德國際資產管理有限公司 可就所有目的依據該等資料，除非及直至華德國際證券有限公司 / 華德國際資產管理有限公司接到本人(等)書面通知任何轉變。

Authorized Signature(s) with Company Chop 獲授權人簽署及公司蓋章

Name 姓名：\_\_\_\_\_

Position 職位：\_\_\_\_\_

Date 日期：\_\_\_\_\_



## CORPORATE BOARD RESOLUTION

### 公司決議

We hereby certify that the following board resolutions have been passed by the Board of Directors of \_\_\_\_\_ ("the Company") at a Meeting of the Board duly convened and held at \_\_\_\_\_ on \_\_\_\_\_ at which a quorum was presented and acted throughout in accordance with the Articles of the Company and have been duly recorded in the Minutes Book of the Company without amendment and that the same are now in full force and effect.

公司茲確認，下列決議案經\_\_\_\_\_ (下稱「公司」)董事會於\_\_\_\_\_年\_\_\_\_\_月\_\_\_\_\_日，在\_\_\_\_\_正式召開之董事局會議通過，該會議自始至終按照公司章程規定維持足夠法定人數，保持並載入公司之會議記錄冊內，而該決議案未有被修訂，並且正全面執行及生效。

### IT WAS RESOLVED 決議通過

1. THAT a Securities / Fund Investment account ( the "Account" ) be opened with WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED ( "The Broker / The Asset Management Company" ).

於華德國際證券有限公司 / 華德國際資產管理有限公司 ( 下稱「經紀 / 資產管理公司」) 開立證券 / 基金投資賬戶 ( 下稱「賬戶」) 。

2. THAT a client services agreement ("the Agreement") was tabled in the meeting and the terms set out in the Agreement and the particulars in connection with the opening of the Account were approved and adopted in all aspects and as amended from time to time.

客戶服務協議書 (下稱「協議書」) 已於會議中傳閱協議書中的條款與開立賬戶有關的詳情已獲批准，其全部及不時之修改亦已採納。

3. THAT any director of the Company and / or each of the following persons (each an Authorised Person) has the power to do any and all of the following:

任何公司董事及 / 或每一下列人仕 (每一授權人) 有權作任何及全部下述行為：

Name 姓名	Position 職位	Specimen Signature 簽名式樣	HKID Card / Passport No. 香港身份證 / 護照號碼
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

- i) To sign any document in connection with the opening of the Account(s) and to deliver the signed original to "The Broker / The Asset Management Company";  
簽署任何與開立該賬戶有關的文件並把正本送達經紀 / 資產管理公司；
- ii) To give written instructions to The Broker / The Asset Management Company with respect to transactions;  
向經紀 / 資產管理公司發出有關交易的書面指令；
- iii) To bind and commit the Company to any contract, arrangement or transaction entered with or through The Broker / The Asset Management Company for and on behalf of the Company;  
致使公司予以約束及承諾履行其代表公司與或透過經紀 / 資產管理公司所訂立的任何合約、安排或交易；
- iv) To receive requests and demands for Shortfall Additional Subscription, notices of intention to liquidate and other notices and demands of whatever character;  
收取索取支付額外追加認購 (補倉)，清算通知或任何其他性質的通知或要求；
- v) To settle, compromise, adjust and give releases in connection with any such Account with respect to any and all claims, disputes and controversies;  
就有關此賬戶的任何及所有索償、糾紛及衝突，進行解決、和解、調整或給予對方豁免；
- vi) To do and take any and all action necessary in connection with the Account.

進行及採取任何及 / 或全部與賬戶有關的所需行動。

4. THAT these Resolutions shall remain in force, and that The Broker / The Asset Management Company shall be entitled to rely on the same until an amending resolution shall be passed and has been received by The Broker / The Asset Management Company.

此決議將維持有效，而經紀 / 資產管理公司有權依賴此決議直至修訂決議通過及被經紀 / 資產管理公司接獲。

\_\_\_\_\_  
Signature of Chairman 會議主席

Name 姓名 \_\_\_\_\_

Date 日期 \_\_\_\_\_

\* delete as appropriate 刪除不適當部分

## PERSONAL GUARANTEE

### 個人擔保

In consideration of the opening of a corporate account for \_\_\_\_\_  
 (“the Company”), WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED (“The Broker / The Asset Management Company”) must have a personal guarantee in order to enter into a client services agreement with the Company. For this Securities Investment Account (“Securities Account”) / For Fund Investment Account (“Account”), the undersigned agrees to jointly and severally guarantee personally the immediate, full and complete performance of any and all of the duties and obligations of this Securities Account / Account and the payment of any and all damages, costs and expenses, which may become recoverable by The Broker / The Asset Management Company from the Company.

\_\_\_\_\_(下稱「公司」)  
因在華德國際證券有限公司 / 華德國際資產管理有限公司 (下稱「經紀 / 資產管理公司」) 開立一公司賬戶，有關證券交易賬戶 (下稱「證券賬戶」) / 有關 基金投資賬戶 (下稱「賬戶」)，在本擔保書簽署人士同意作出個人共同及個別保證，承諾作出實時及全面履行該證券賬戶 / 賬戶任何及所有的義務與 責任，並支付經紀 / 資產管理公司向公司所追討的損失，訟費及支出。

This guarantee shall remain in full force and effect until the termination of this client services agreement, provided that the undersigned shall not be released from their obligations so long as the Account(s) and any obligations the Account(s) has with The Broker/The Asset Management Company lasts.

本擔保在客戶協議終止前維持全面有效，然而，只要於經紀/ 資產管理公司仍然持有賬戶及保留有關賬戶的任何責任時，在本擔保書簽署人不得予以 免除義務。

## Personal Guarantee Acknowledgment

### 個人擔保確認

This guarantee shall inure to the benefit of The Broker / The Asset Management Company, its successors and assigns, and shall be binding on the undersigned and their heirs.

本擔保的受益方為經紀/ 資產管理公司及其繼承人或受讓人，本擔保對以下簽署人及其繼承人具有約束力。

This assigns 此授權：

\_\_\_\_\_  
as Guarantor, Individually 個人擔保人

\_\_\_\_\_  
Signature 簽署

\_\_\_\_\_  
Date 日期

\_\_\_\_\_  
as Guarantor, Individually 個人擔保人

\_\_\_\_\_  
Signature 簽署

\_\_\_\_\_  
Date 日期

\_\_\_\_\_  
as Guarantor, Individually 個人擔保人

\_\_\_\_\_  
Signature 簽署

\_\_\_\_\_  
Date 日期

## Authorized Persons Information

獲授權人士資料

Account No. 賬戶號碼 \_\_\_\_\_

☐ Mr 先生    ☐ Mrs 太太    ☐ Ms 小姐

Name in English 英文姓名：\_\_\_\_\_ Name in Chinese 中文姓名：\_\_\_\_\_

HKID Card / Passport No. (please provide a copy) 香港身份證 / 護照號碼 (請提供副本一份)：\_\_\_\_\_

Residential Address 住址：\_\_\_\_\_

Correspondence Address (if different from above)

通訊地址 (如與上址不同)：\_\_\_\_\_

Contact No. 聯絡號碼

Mobile 手機：\_\_\_\_\_ Company Tel 公司電話：\_\_\_\_\_

Email 電郵：\_\_\_\_\_

Occupation 職業

Name of Employer 僱主名稱：\_\_\_\_\_

Nature of Business 業務性質：\_\_\_\_\_

Position 職位：\_\_\_\_\_ Years of Service 在公司服務年數：\_\_\_\_\_

Relationship with the client 與客戶關係：\_\_\_\_\_

Are you a director or an employee of any exchange participant of the HK Stock Exchange or any licensed or registered person of HK SFC?

閣下是否聯交所之交易所參與者或證監會之持牌人士或註冊人士之董事或僱員？

☐ No 否    ☐ Yes (please enclose an employer consent letter) 是 (請附僱主同意信)

## Declaration

聲明

The Client authorizes and instructs WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED ( "The Broker / The Asset Management Company" ) to act on the instructions given by the Authorized Person.

客戶授權及指示華德國際證券有限公司/華德國際資產管理有限公司(「經紀/資產管理公司」)按獲授權人士發出的指示行事。

I / We hereby declare and confirm that the information stated in the Authorized Persons Information is true and correct and agree to notify The Broker / The Asset Management Company any change in due course.

本人(等)聲明及確認，獲授權人士資料報表內陳述的資料真實及準確並同意適時通知經紀/資產管理公司有關該等資料之任何變更。

Authorized Person's Signature 獲授權人簽署

Name 姓名：\_\_\_\_\_

Date 日期：\_\_\_\_\_

Account Holder's Signature with Company Chop 戶口持有人簽署及公司蓋章

Name 姓名：\_\_\_\_\_

Date 日期：\_\_\_\_\_

## Remarks 備註：

1. This authorization is valid for a period of 12 months from the date hereof (the "Period"), and shall be deemed to be renewed on a continuing basis (for a period of coming 12 months) in case the Client does not object to such deemed renewal before expiry of the Period upon issue of written notice by WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED.

本授權書的有效期限為十二個月，自本授權書之日起予以生效計(「有效期」)。假若經紀/資產管理公司發出書面通知而客戶沒有在有效期提出反對，本授權書應當作按持續的基準(即之後十二個月)予以續期。

2. This authorization is for placing order only.

此授權僅適用於下達落盤指令。

3. No directors or officers or employees of The Broker / The Asset Management Company are allowed to act as the Authorized Person herein.

經紀/資產管理公司的董事、員工、或雇員不予以容許作為授權人士。

☐ **RISK DISCLOSURE ACKNOWLEDGEMENT**

風險披露確認

☐ **RISK DISCLOSURE FOR DERIVATIVE PRODUCTS ACKNOWLEDGEMENT**

衍生產品的風險披露確認

☐ **RISK FACTORS AND CONFLICTS OF INTEREST STATEMENT ACKNOWLEDGEMENT**

基金產品風險因素和利益衝突聲明確認

I / We confirm that 本人 (等) 確認：

the above Risk Disclosure Statements have been provided to me / us in a language of my / our choice (English or Chinese); and

本人 (等) 獲提供屬於本人 (等) 所選擇語文 (英文或中文) 的風險披露聲明；及

(i) ☐ I was / We were invited to read the Risk Disclosure Statements, to ask questions and take independent advice if I / we so wish.

本人 (等) 獲邀請閱讀風險披露聲明、提出疑問，以及如本人 (等) 認為需要，尋求獨立意見。

(ii) ☐ I was / We were invited to read the Risk Disclosure Statements for Derivative Products, to ask questions and take independent advice if

I / we so wish.

本人 (等) 獲邀請閱讀衍生產品風險披露聲明、提出疑問，以及如本人 (等) 認為需要，尋求獨立意見。

(iii) ☐ I was / We were invited to read the Risk Factors and Conflicts of Interest Statements for Fund Products, to ask questions and take independent advice if I / we so wish.

本人 (等) 獲邀請閱讀基金產品風險因素和利益衝突聲明、提出疑問以及如本人 (等) 認為需要，尋求獨立意見。

Account Holder's Signature with Company Chop

戶口持有人簽署及公司蓋章

Name 姓名: \_\_\_\_\_

Date 日期: \_\_\_\_\_

**FOR OFFICE USE ONLY - DECLARATION 公司專用 - 聲明**

☐ I confirm that the above Risk Disclosure Statements have been provided to the Client in a language of the Client's choice (English or Chinese). I have invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice if the Client so wishes. 本人確認，以上風險披露聲明已按客戶選擇的語言 (英文或中文) 提供予客戶。本人已邀請客戶閱讀風險披露聲明、提出疑問，以及如客戶認為需要，尋求獨立意見。

☐ I confirm that the above Risk Disclosure Statements for Derivative Products have been provided to the Client in a language of the Client's choice (English or Chinese). I have invited the Client to read the Risk Disclosure Statements for Derivative Products, ask questions and take independent advice if the Client so wishes.

本人確認，以上衍生產品風險披露聲明已按客戶選擇的語言 (英文或中文) 提供予客戶。本人已邀請客戶閱讀衍生產品風險披露聲明、提出疑問，以及如客戶認為需要，尋求獨立意見。

☐ I confirm that the above Risk Factors and Conflicts of Interest Statements for Fund Products have been provided to the Client in a language of the Client's choice (English or Chinese). I have invited the Client to read the Risk Factors and Conflicts of Interest Statements for Fund Products, ask questions and take independent advice if the Client so wishes.

本人確認，以上基金產品風險因素和利益衝突聲明已按客戶選擇的語言 (英文或中文) 提供予客戶。本人已邀請客戶閱讀基金產品風險因素和利益衝突聲明、提出疑問，以及如客戶認為需要，尋求獨立意見。

Signed 簽署: \_\_\_\_\_

Name 姓名: \_\_\_\_\_

A licensed representative of The Broker / The Asset Management Company  
證券公司的持牌代表 / 資產管理公司的持牌代表

CE Number assigned by the SFC: \_\_\_\_\_  
證監會中央編號

Date 日期: \_\_\_\_\_

## EXECUTION OF CLIENT SERVICES AGREEMENT

### 客戶服務協議的確立

I / We have read and fully understand and accept in full the terms of this Client Services Agreement of WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED including the Risk Disclosure Statements, the Risk Factors and Conflicts of Interest Statements for Fund Products.

本人(等)已閱讀及完全明白及全面接納華德國際證券有限公司 / 華德國際資產管理有限公司的客戶服務協議的全部條款，包括風險披露聲明，基金產品風險因素和利益衝突聲明。

☐ **for a Partnership, signed by all the Partners** 如為合夥經營，由所有合夥人簽署：

☐ **for a Corporation, signed by at least two Directors unless the Corporation has only one Director**  
除非公司只有一名董事，須由至少兩名董事簽署：

Signed by the Client with Company Chop

客戶簽署及公司蓋章

\_\_\_\_\_

Name 姓名：\_\_\_\_\_

Date 日期：\_\_\_\_\_

\_\_\_\_\_

Name 姓名：\_\_\_\_\_

Date 日期：\_\_\_\_\_

Signed by the Witness 見證人簽署

\_\_\_\_\_

Name 姓名：\_\_\_\_\_

Date 日期：\_\_\_\_\_

Occupation 職業：\_\_\_\_\_

Address 地址：\_\_\_\_\_

#### FOR OFFICE USE ONLY 公司專用

Accepted on behalf of WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED

代表華德國際證券有限公司 / 華德國際資產管理有限公司接納

\_\_\_\_\_

Responsible Officer Signature 負責人員簽署

Name 姓名：\_\_\_\_\_

Date 日期：\_\_\_\_\_

\_\_\_\_\_

Compliance Officer Signature 法規主任簽署

Name 姓名：\_\_\_\_\_

Date 日期：\_\_\_\_\_

# STANDING AUTHORITY ON MARGIN CLIENT SECURITIES AND SECURITIES COLLATERAL

## 客戶證券及證券抵押品常設授權書

To: WONDERLAND INTERNATIONAL SECURITIES LIMITED  
20/F, No.9 Des Voeux Road West, Sheung Wan, Hong Kong

致：華德國際證券有限公司  
香港上環德輔道西9號20樓

This letter serves as my / our official notification and standing authority to you with immediate effect. Unless otherwise stated, the terms used in this letter shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules as amended from time to time.

In consideration of your agreeing to continue to maintain securities margin account(s) for me / us, I / we have authorized you to deal with my / our securities and securities collateral from time to time received or held by you on my/our behalf in one or more of the following ways without further notice to or consent from me / us:

1. to apply any of my / our securities or securities collateral pursuant to a securities borrowing and lending agreement;
2. to deposit any of my / our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you;
3. to deposit any of the securities collateral with the Hong Kong Securities Clearing Company Limited or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities; and
4. to treat and deal with the securities and securities collateral in such manner as you consider appropriate taking into account any applicable legal or regulatory requirement from time to time.

I / We acknowledge that this authority shall not affect your right to dispose of my / our securities or securities collateral in settlement of any liability owed by or on my / our behalf to you or a third party.

This authority is valid for a period of 12 months from the date of this letter. I / We can revoke this authority by giving you written notice at the address specified above provided that there is no indebtedness owing to you in my / our securities margin account and such notice shall take effect upon expiry of 7 business days from the date of actual receipt of such notice.

I / We understand that this authority shall be deemed to be renewed on a continuing basis (for a period of coming 12 months) without my / our written consent if you have issued to me / us a written reminder at least 14 days prior to the expiry of the authority, and I / we do not object to such deemed renewal before such expiry date.

I / We understand that if I / we sign this authority and my / our securities or securities collateral are lent to or deposited with third parties, those third parties will have a lien or charge on my / our securities or securities collateral, which you must satisfy before my / our securities can be returned to us. A default by you could result in the loss of my / our securities or securities collateral. I / We agree and confirm that you are entitled to receive and retain for your or their own benefit and not be accountable to me / us for any remuneration, income, rebates benefits resulting from any dealing with my / our securities or securities collateral.

This letter has been explained to me / us and I / we fully understand and agree to the content of this letter.

本授權書為本人（等）授予貴公司之正式通知和常設授權書，即時生效。除非另有說明，本授權書之詞彙與證券及期貨條例及證券及期貨（客戶證券）規則不時修訂之定義具有相同含意。鑑於貴公司同意繼續維持本人（等）之證券保證金賬戶，本人（等）

同意並授權貴公司毋須進一步通知本人（等）或取得本人（等）的同意以下列一種或多於一種方式去處理不時由貴公司代本人（等）收取或持有的證券及證券抵押品：

1. 依據證券借貸協議運用任何有關證券或證券抵押品；
2. 將任何有關證券抵押品存放於認可財務機構，作為提供予貴公司的財務通融的抵押品；
3. 將任何有關證券抵押品存放於獲香港中央結算有限公司或另一獲發牌或獲註冊進行證券交易的中介人，作為解除和清償貴公司在交收上的義務和法律責任的抵押品；及
4. 於顧及任何適用的法律或監管要求的情況下，以貴公司認為適當的方式對待及處理有關證券及證券抵押品。

本人（等）確認本授權書不影響貴公司處置本人（等）之證券或證券抵押品的權利從而解除由本人（等）或代本人（等）對貴公司或第三者所負上的法律責任。

本授權書的有效期限為十二個月，自本授權書之日起計予以生效。如本人（等）之證券保證金賬戶概無欠貴公司任何債項的情況下，本人（等）可以向貴公司位於上述所列明之地址發出書面通知，撤回本授權書。該等通知之生效日期為貴公司確實收到該等通知後之 7 個工作日起計。

本人（等）明白貴公司若在本授權書的有效期限屆滿前 14 日之前，向本人（等）發出書面通知，提醒本人（等）授權書即將屆滿，而本人（等）沒有在此授權屆滿前反對此授權續期，本授權書應當作在不需要本人（等）的書面同意下按持續的基準（即之後十二個月）予以續期。本人（等）明白倘若本人（等）簽署此授權書，而本人（等）的證券

或證券抵押品已借出予或存放於第三方，該等第三方將對本人（等）的證券或證券抵押品具有留置權或作出押記，而貴公司先要解除該留置權或押記才可向本人（等）退回本人（等）之證券。貴公司的失責行為可能會導致本人（等）損失的證券或證券抵押品。本人（等）同意並確認貴公司有權收取及保留任何由於處理本人（等）的證券或證券抵押品所產生的任何報酬、收入、回佣或其他利益作為貴公司利益而無須向本人（等）負責。

本人（等）就本授權書的內容已獲得解釋，並且本人（等）充分明白及同意本授權書的內容。

Account Holder's Signature with Company Chop .....

戶口持有人簽署及公司蓋章

Date: .....

日期

Account Name: .....

賬戶名稱

Account Number: .....

賬戶號碼

**For Internal Use Only**

A/C Type	Commission Rate %	Minimum	Rebate % / Minimum	A.E. Code
Stock				
Stock Option				
Futures				
Asset Management				

Applied by

Approved by

Account Executive

Responsible Officer

Name of Account Executive

Name of Responsible Officer

華德國際證券有限公司

**WONDERLAND INTERNATIONAL SECURITIES LIMITED**

香港德輔道西 9 號 20 樓

20/F, No. 9 Des Voeux Road West, Sheung Wan Hong Kong

Tel: (852) 3951 3800 Fax: (852) 3951 3838

Email: [customerservice@wondint.com](mailto:customerservice@wondint.com)

聯交所經紀代號 7639 CCASS: B01447 期交所

經紀代號: WLH DCASS: CWLH 證監會

中央編號(CE No.): ABN652



華德國際資產管理有限公司

**WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED**

香港德輔道西 9 號 20 樓

20/F, No. 9 Des Voeux Road West, Sheung Wan Hong Kong

Tel: (852) 3951 3800 Fax: (852) 3951 3838

Email: [wondint@wondint.com](mailto:wondint@wondint.com)

證監會中央編號(CE No.): BGP105

