

### Application Instructions

To open your **HKeInvest** account, please complete all sections below.

**Each account application must include the following:**

- A minimum initial deposit of HK\$20,000 to open your account.
- A photocopy of your Hong Kong Identity Card or the inside pages of your passport(s), including photo, signature and personal information for each account applicant.
- One bank (or financial institution) statement and one utility bill dated within the last six months. One of the documents must be an original. In lieu of a bank statement and utility bill, you may provide a verifiable letter from a known bank or financial institution.
- Additional documents may be required if your application is not submitted in person.

Please submit the completed application and all required documents to **Hong Kong Electronic Investments LLC, Suite 8801, 3 IFC, Central, Hong Kong**.

We respect your privacy. **HKeInvest** will use the information you provide to verify your identity, to open and service your account, communicate with you and provide information about products and services.

### 1 Account Type

|                                     |  |   |
|-------------------------------------|--|---|
| <input type="checkbox"/> Individual | <input type="checkbox"/> Joint Tenants with Rights of Survivorship<br>If one owner dies, his/her interest passes to the surviving owner. | <input type="checkbox"/> Joint Tenants in Common<br>If one owner dies, his/her interest passes to his/her estate. |
|-------------------------------------|--|---|

### 2 Client Information

Security industry regulations require that we collect the following information.

#### Primary Account Holder

|   |
|---|
| Title: <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Dr. |
| First name:   |
| Last name:  |
| Date of birth (dd/mm/yyyy):   |
| Email address:  |
| Home address (cannot be a PO box):<br>Building (if any):<br>Street:<br>District:  |
| Home phone:   |
| Home fax:   |
| Business phone:   |
| Mobile phone:   |
| Country of citizenship:   |
| Country of legal residence:   |
| HKID/passport number:   |
| Passport country of issue:  |

#### Co-Account Holder, if applicable

|   |
|---|
| Title: <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Dr. |
| First name:   |
| Last name:  |
| Date of birth (dd/mm/yyyy):   |
| Email address:  |
| Home address (cannot be a PO box):<br>Building (if any):<br>Street:<br>District:  |
| Home phone:   |
| Home fax:   |
| Business phone:   |
| Mobile phone:   |
| Country of citizenship:   |
| Country of legal residence:   |
| HKID/passport number:   |
| Passport country of issue:  |

### 3 Employment Information

Security industry regulations require that we collect the following information.

#### Primary Account Holder

Employment status:

- ☐ Employed      ☐ Self-employed      ☐ Retired  
☐ Student      ☐ Not Employed      ☐ Homemaker

Specific occupation:

Years with employer:

Employer name:

Employer phone:

Nature of business:

#### Co-Account Holder, if applicable

Employment status:

- ☐ Employed      ☐ Self-employed      ☐ Retired  
☐ Student      ☐ Not Employed      ☐ Homemaker

Specific occupation:

Years with employer:

Employer name:

Employer phone:

Nature of business:

### 4 Disclosures and Regulatory Information

Security industry regulations require that we collect the following information.

#### Primary Account Holder

Are you employed by a registered securities broker/dealer, investment advisor, bank or other financial institution?

- ☐ No  
☐ Yes (you must submit a compliance letter with this application)

Are you a director, 10% shareholder or policy-making officer of a publicly traded company?

- ☐ No  
☐ Yes

#### Co-Account Holder, if applicable

Are you employed by a registered securities broker/dealer, investment advisor, bank or other financial institution?

- ☐ No  
☐ Yes (you must submit a compliance letter with this application)

Are you a director, 10% shareholder or policy-making officer of a publicly traded company?

- ☐ No  
☐ Yes

Describe the primary source of funds deposited to this account:

- ☐ salary/wages/savings      ☐ investment/capital gains      ☐ family/relatives/inheritance      ☐ Other (describe below)

### 5 Investment Profile

Security industry regulations require that we collect the following information. For joint accounts, please include combined amounts.

Investment objective\* for this account:

- ☐ capital preservation      ☐ income      ☐ growth      ☐ speculation

Investment knowledge:

- ☐ none      ☐ limited      ☐ good      ☐ extensive

Investment experience:

- ☐ none      ☐ limited      ☐ good      ☐ extensive

Annual income:

- ☐ under HK\$20,000      ☐ HK\$20,001 - HK\$200,000      ☐ HK\$200,001 - HK\$2,000,000      ☐ more than HK\$2,000,000

Approximate liquid net worth (*cash and securities*):

- ☐ under HK\$100,000      ☐ HK\$100,001 - HK\$1,000,000      ☐ HK\$1,000,001 - HK\$10,000,000      ☐ more than HK\$10,000,000

\* Investment objective definitions

**Capital preservation:** The objective of a capital preservation strategy is to protect your initial investment by choosing investments that minimize the potential of any loss of principal. The long-term risk of capital preservation is that the returns may not be adequate to offset inflation.

**Income:** The objective of an income strategy is to provide current income rather than long-term growth of principal.

**Growth:** The objective of a growth strategy is to increase the value of your investment over time while recognizing a high likelihood of volatility.

**Speculation:** The objective of a speculation strategy is to assume a higher risk of loss in anticipation of potentially higher than average gain by taking advantage of expected price changes.

## 6 Account Feature

### Earn Income on Your Cash Balance

The Free Credit Balance in your **HKeInvest** account is not interest bearing. However, you may choose to earn interest on the Free Credit Balance in your account by having daily automatic investment in or redemption of (“sweep”) shares of our sweep fund (“Fund”). (The Free Credit Balance is the sum of the cash balances in your Cash Account and Margin Account (if applicable) offset by any debit balances and/or cash retained as collateral in the accounts.)

On any Exchange Business Day, the Free Credit Balance will be automatically invested in shares of the Fund on the following Exchange Business Day. Shares of the Fund will be automatically redeemed to satisfy a debit balance in your **HKeInvest** account, to provide necessary cash collateral in your Margin Account (if applicable) or to the extent necessary to settle securities transactions.

☐ Yes, sweep my Free Credit Balance into the Fund.

## 7 Initial Account Deposit

A **HK\$20,000 minimum deposit** is required to open an account.

Check one or more:

☐ A cheque for HK\$ \_\_\_\_\_ made payable to **Hong Kong Electronic Investments LLC** is enclosed.

☐ A completed Account Transfer Form for HK\$ \_\_\_\_\_ is attached.

## 8 Declaration and Signature

I am of legal age to enter into this contract. I acknowledge that I have received, read and agree to be bound by the terms and conditions as currently set forth in the HKeInvest Customer Agreement and as amended from time to time. I authorize HKeInvest to inquire from any source, including a consumer reporting agency, as to my identity, creditworthiness and ongoing eligibility for the account at account opening, at any time throughout the life of the account and thereafter for debt collection or investigative purposes.

**I acknowledge that HKeInvest does not provide investment, tax or legal advice.**

Account Holder's Signature

Co-Account Holder's Signature, if applicable

Date:

Date: