

- Please read the Terms and Conditions, in particular the Risk Disclosure Statement contained therein, carefully before completing this form. 請於填寫本申請表格前，小心細閱列載於本申請表之條款與限制，包括風險披露聲明。
- Please complete in English **BLOCK LETTERS** or Chinese and check the appropriate box. Any incomplete or incorrect information provided may cause delay in account opening. 請以英文正楷或中文填寫本表格並在適當的空格填上剔號。如所提供的資料有任何不完整或不正確，將可能導致開戶程序出現延誤。
- Please return completed form to Bridgeway Prime Shop Fund Management Ltd. ("Bridgeway"): Rm 1502-3, 15/F, New World Tower 1, 16-18 Queen's Road Central, Hong Kong. 請郵寄已填妥的表格至香港中環皇后大道中16-18號新世界大廈1座15樓1502-3室。

**IMPORTANT DECLARATION:**

1. Currently, Bridgeway's products and services are offered SOLELY to NON-U.S. investors. Please declare your non-U.S. citizen and resident status by checking the below boxes:
- I or We (for joint account) am/are not a U.S. Resident
  - I or We (for joint account) am/are not a U.S. Citizen
  - I or We (for joint account) do not hold a U.S. Permanent Resident Card (Green Card)

**CHECKLIST FOR ACCOUNT OPENING:**

- 1. You have fully completed and signed/endorsed this Account Opening Form
- 2. You have provided relevant document(s) for account opening listed on the Appendix
- 3. Read all relevant Terms and Conditions, in particular the Risk Disclosure Statement

**PART 1: PRIMARY CUSTOMER PARTICULARS**

Title: Mr/Ms/Dr <i>(please delete as appropriate)</i>		Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female	
Full Name <i>(as it appears on your identification document)</i> :			
Date of Birth (DD/MM/YYYY):		Nationality:	
Hong Kong Identity Card Number <i>(for Hong Kong residents)</i> :		Other Identification document <i>(if not HK permanent residence)</i> :	
		Type:	
		Issuing Country:	
		Number:	
Residential Address:			
Permanent Address <i>(if different from Residential Address)</i> :			
Correspondence Address <i>(if different from Residential Address)</i> :			
Telephone number:		Email address:	
Mobile number:		Facsimile:	

**PART 2: CUSTOMER PROFILE**

Occupation:	Industry sector:
If you are self-employed, please provide details:	
Name of Company / Employer:	
Position held:	Annual Income: HKD

Other assets owned:

**PART 3: JOINT ACCOUNT HOLDER** *(for joint account only)*

Title: Mr/Ms/Dr <i>(please delete as appropriate)</i>	Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female
Full Name <i>(as it appears on your identification document)</i> :	
Date of Birth (DD/MM/YYYY):	Nationality:
Hong Kong Identity Card Number <i>(for Hong Kong residents)</i> :	Other Identification document <i>(if not HK permanent resident)</i> : Type: Issuing Country: Number:
Residential Address:	
Permanent Address <i>(if different from Residential Address)</i> :	
Correspondence Address <i>(if different from Residential Address)</i> :	
Telephone number:	Email address:
Mobile number:	Facsimile:

**SECTION 4: PARTNERSHIP OR CORPORATE CLIENT**

Full Name <i>(as it appears on your Business Registration Certificate)</i> :	
Company Registration Number:	
Date of Incorporation (DD/MM/YYYY):	
Registered Address:	
Business Address <i>(if different from Registered Address)</i> :	
Correspondence Address <i>(if different from Registered Address)</i> :	
Telephone number:	Email address:
	Facsimile:

**CUSTOMER CONFIRMATION AND DECLARATION**

1. I/We have read and understood the Terms and Conditions governing the opening of an account and the relationship with Bridgeway, fees, charges, and documents requirements, and agree to be bound by the said Terms & Conditions including those limiting Bridgeway's liability. I/We hold a copy of the Terms and Conditions, which I/we acknowledge are available in the Onboarding Package as an integral part of this Account Opening and/or notified by Bridgeway to me/us through various communication channels which it deems fit
2. I/We understand that Bridgeway has the right to approve or decline my/our application and may, at its absolute discretion, discontinue any of the services completely or partially with notice to me/us. I agree that Bridgeway may debit my account for service charges as applicable from time to time.
3. I/We understand that Privacy policy for customers at Bridgeway forms an integral part of this Account Opening Form, and I/we acknowledge that it could be downloaded from Bridgeway's website <www.bwfund.com/>. I/We understand that Bridgeway reserves the right of its discretion to send service alerts through SMS and email, and may allow its affiliates, agents, and representatives and third parties selected by any of them to offer products/services to me/us through communication channels including but not limited to telephone/email/mail. I/We understand that I/we may choose to unsubscribe to this mode of communication by sending a request to Bridgeway at any time.

4. I/We agree that Bridgeway may allow its affiliates, agents, representatives and third parties selected by any of them to verify details provided by me/us, and I/we consent to any disclosure of my/our information to, between and among Bridgeway, affiliates, its agents, representatives, and third parties selected by any of them for this purpose. I/We also agree that as a part of verification, Bridgeway may obtain independent confirmation of information from other sources including but not limited to telephone directory and telephone verifications to home/office.
5. I/We shall be aware of the laws in my/our own country with regards to my/our transactions with Bridgeway and Bridgeway shall not be liable for any loss or liability imposed by my/our country on me/us as a result of my/our noncompliance with any regulations, laws or legal process of my/our country.
6. I/We agree that Bridgeway can seek my/our updated information and collect relevant documents as set forth in the Appendix of this account opening form in compliance with applicable regulatory guideline. I/We undertake to update any changes to my/our relevant information to enable Bridgeway to provide relevant offers and privileges.
7. I/We consent to provide security for the liabilities and obligations as required by Bridgeway, and I/we agree that in consideration of Bridgeway agreeing to provide products/services, I/we as legal and beneficial owner(s) charge in favour of Bridgeway all my/our right, title and interest to my/our account/assets as continuing security for the payment and discharge on demand and/or satisfaction of the secured obligations. I/We hereby undertake, during the continuance of security created to maintain absolute title to the secured account/assets and not, without Bridgeway's prior consent, to withdraw, sell, dispose of or change, pledge, assign, otherwise encumber or grant any third party rights over or against of my/our secured account/assets, except in Bridgeway's favour.
8. I/We hereby apply for the opening of account(s) with Bridgeway. I/We understand that the information provided herein and the documents supplied are the basis for opening such account(s), and I/We declare that the information and documents provided by me/us are true and correct. I/We have not withheld any relevant information which might have otherwise affected the acceptance of my/our application. All documents relating to this Application Form or reference to it such as emails and recordings (including electronic communications, recorded messages on phones etc.) shall become integral parts of this Application. I/We further warrant to indemnify Bridgeway for any loss suffered as a result of any false information or error in the information provided to Bridgeway.

Signature:

Signature:

*(only applicable for joint account)*

\_\_\_\_\_  
Name:

Date:

\_\_\_\_\_  
Name:

Date:

## RISK DISCLOSURE

This part is intended for general information purposes. It is not intended to provide any accounting, legal, regulatory, tax, or investment advice or recommendations. No information contained in this part constitutes an offer, or a solicitation to buy or sell any security or fund in any jurisdiction where such offer or solicitation would be lawful. The services referred to on this form may be offered and sold only to persons where Bridgeway is duly registered or exempt from registration. Bridgeway is a licenced corporation registered with the Hong Kong Securities and Futures Commission.

Investors should satisfy themselves that the investment is suitable for them in terms of their own circumstances and financial position before making any decision to invest. In addition, investors should avoid excessive investment in any single type of investment (in terms of its proportion in the overall investment portfolio), so as to avoid the investment portfolio being over-exposed to any particular investment risk.

Investment carries a high degree of risk. There can be no assurance that investment will be successful or that its objectives will be attained. Investment in Bridgeway should be considered to be speculative in nature and only suitable for sophisticated investors who are aware of the risks involved in the investment and who have the ability and willingness to accept the anticipated lack of liquidity in the investments, the illiquid nature of investment in the Shares and the risk of total loss of capital resulting from investment pursuant to the investment objective, policy, investment restrictions (if any), and borrowing restrictions. Past performance is not indicative of future results.

Read the Term Sheet: Investors should refer to the Term Sheet and note the details as mentioned there as well as this part does not purport to be an exhaustive list of all the risks inherent in the investment. Investors should not solely rely upon such information for any investment through Bridgeway and should note that there may be various other risks or considerations not specifically mentioned in these documents, but which may also need to be taken into account before making any decision to invest through Bridgeway.

### Investing Risks

#### **Concentration Risk**

The investments are subject to risks associated with investing in a concentrated portfolio, and the value of the investments will be greatly affected by the fluctuations in the value of a single property.

#### **Confidentiality Risk**

Investors should be aware that some of your personal information of shareholders (such as name, residential address and number of shares allotted) is accessible on the Hong Kong Companies Registry on request basis. In the case of corporate investors, information such as name, address and number of shares allotted may also be accessible by the public on request basis.

**Credit Risk**

The issuer may not be able to meet interest or principal payments when the investments come due.

**Currency Risk**

Bridgeway's investments are subject to currency risk resulting from fluctuations in exchange rates that may affect the total loss or gain.

**Debt Securities Risk (Fixed Income)**

Bridgeway is subject to the risks associated with investments in debt securities, such as default risk and fluctuations in the perception of the debtor's ability to pay its creditors.

**Default Risk**

The issuer may default or otherwise be unable to honor a financial obligation. These issuers may be involved in bankruptcy proceedings, reorganizations or financial restructurings and are not as strong financially as higher-rated issuers.

**High-Yield Risk**

High-yield bonds (also known as "junk bonds") are subject to additional risks such as the risk of default.

**Interest-Rate Risk**

Changing interest rates may adversely affect the value of an investment. An increase in interest rates typically causes the value of investments to fall.

**International Risk**

International investments may involve risk of capital loss from unfavorable fluctuation in currency values, from differences in generally accepted accounting principles, or from economic or political instability in other nations. Economic factors, market conditions, and investment strategies will affect the performance of any portfolio and there is no assurance that a portfolio will match or outperform any particular benchmark.

**Leverage Risk**

The use of leverage in investment strategy can magnify relatively small market movements into relatively larger losses.

**Liquidity Risk**

Bridgeway's investments cannot be bought or sold quickly to prevent or minimize a loss. There may be no secondary market and they may involve risks of having difficulty in liquidating an investment position without taking a significant discount from current market value.

**Money Market Risk**

The investment is neither insured nor guaranteed by the government. Although Bridgeway seeks to preserve the value of your investment at \$1.00 per share, it is possible to lose money by investing in Bridgeway's portfolio.

**Prepayment Risk**

Many bonds have call provisions which allow the debtors to pay them back before maturity. This is especially true with mortgage securities, which can be paid back anytime. Typically, debtors prepay their debt when it is to their advantage, and thus likely to the disadvantage of bondholders, who may have to reinvest prepayment proceeds in securities with lower yields. Prepayment risk will vary depending on the provisions of the security and current interest rates relative to the interest rate of the debt.

**Real estate investing risk**

Investing in real estate involves risks including the potential loss of principal. Real estate investments are subject to risks similar to those associated with the direct ownership of real estate, as these companies are sensitive to factors such as changes to real estate values and property taxes, interest rates, cash flow of underlying real estate assets, and supply and demand. Portfolios concentrated in real estate investments may experience price volatility and other risks associated with non-diversification.

The value and marketability of the investments will depend on many factors beyond the control of Bridgeway, including all the risks associated with the acquisition, secured financing, ownership, operation and disposal of the invested properties. The property market historically has experienced significant fluctuations, and cycles in local value and market conditions may result in long-term reductions in the value of real estate investments. Properties such as those targeted by Bridgeway are also generally subject to global cycles and market conditions affecting business at large. Bridgeway's investments may thus be adversely affected by the domestic and international general economic climate; local real estate market conditions; changes in the supply of or demand for competing properties in a given area, whether as a result of over-building, de-localization of business or otherwise; the financial condition of buyers and sellers of properties and of tenants; energy and other supply shortages; changes in local road networks; natural disasters and other force majeure events; various uninsured or uninsurable risks; statutory regulations (such as land-use and zoning restrictions, environmental protection and occupational safety) and bureaucratic inertia; increases in taxes associated with the direct or indirect ownership, and the operation of real estate; interest rate fluctuations and the lack of availability of real estate financing; and the quality and philosophy of management.

Other risks associated with the real estate industry in general include: negative developments in the economy that depress travel and retail activity; uninsured casualties; force majeure acts, terrorist events, under-insured or uninsurable losses; and other factors that are beyond the reasonable control of Bridgeway. Real estate assets are subject to long-term cyclical trends that give rise to significant volatility in values. Investment is disproportionately exposed to the foregoing risks because of its concentration in real estate and real estate-related investments.

**Sector Risk**

Companies that are in similar businesses may be similarly affected by particular economic or market events; to the extent Bridgeway has substantial holdings within a particular sector, the risks associated with that sector increase.

**Tax-Management Risk**

Although Bridgeway is managed to minimize taxable distributions, it may not be able to avoid taxable distributions.

**Tax Risk**

Investment income may be subject to certain state and local taxes and, depending on your tax status. Capital gains are not exempt from tax.

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	Licensed Representative	CRM Update	RO approval	Risk explained
<i>Signature:</i>				
<i>Date:</i>				

**APPENDIX**

**Required Documents**

**INDIVIDUAL ACCOUNT**

Documents	Remarks	
1. Copy of Hong Kong Identity Card of all account holders (original for sighting or provide certified true copy*)	For Hong Kong permanent residents	<input type="checkbox"/>
2. Copy of Passport of all account holders (original for sighting or provide certified true copy*)	For non-Hong Kong permanent residents	<input type="checkbox"/>
3. Residential address proof for all account holders	Valid within <u>3 months</u> upon submission to Bridgeway. E.g. utility bills, bank statements, correspondence from the Government etc.	<input type="checkbox"/>
4. Chinese Translation Consent Letter	For clients of China and Taiwan and companies with principal place of business in these two countries.	<input type="checkbox"/>

**PARTNERSHIP ACCOUNT**

Documents	Remarks	
1. Constitutional documents (original for sighting or provide certified true copy*)	i.e. Partnership Agreements, Partnership Deeds, and any other similar legal formation documents	<input type="checkbox"/>
2. Authorization Mandate including a list of authorized account signatories, and copy of their identification documents (originals for sighting or provide certified true copies*)	a. a mandate authorizing the opening of an account and conferring authority on those who will operate it (those authorized to give instructions for the movement of funds or assets); and b. the list of authorized signatories; and c. copy of authorized signatories' identification document	<input type="checkbox"/>
3. List of partners and Identification documents of the general partner and/or managing member (originals for sighting or provide certified true copies*)	a. names of all partners and individuals who exercise control over the management of the partnership b. copies of identification documents of the general partner and/or managing member	<input type="checkbox"/>
4. Ownership chart with General Partner/Managing Member's Declaration together with relevant copies of identification documents and address proof of beneficiaries of 10% or more (originals for sighting or provide certified true copies*)	a. names of all individuals who own or control not less than 10% of the Partnership's capital or profits, or of its voting rights, percentage of their ownership, up to the level of ultimate beneficial owners b. copies of identification document and address proof of the beneficiary owners	<input type="checkbox"/>
5. Chinese Translation Consent Letter	a. sign according to account mandate b. for clients of China and Taiwan and companies with principal place of business in these two countries	<input type="checkbox"/>

**CORPORATE ACCOUNT**

Documents	Remarks	
1. Constitutional documents (original for sighting or provide certified true copy*)	i.e. copy of Certificate of Incorporation, Business Registration, Articles of Incorporation, Memorandum and Articles of Association, Bylaws, and any other similar legal formation documents	<input type="checkbox"/>
2. Board Resolution	Board Resolution authorizing the Account to be opened	<input type="checkbox"/>
3. List of authorized account signatories and copies of their identification documents (originals for sighting or provide certified true copies*)	Those authorized to give instructions for the movement of funds or assets	<input type="checkbox"/>
4. List of Directors' Names and copies of their identification documents of all directors (originals for sighting or provide certified true copies*)		
5. Ownership chart with Director's Declaration together	a. name of shareholders who owns/controls, directly/indirectly not	<input type="checkbox"/>

with relevant copies of identification documents and address proof of beneficiaries of 10% or more (originals for sighting or provide certified true copies*)	less than 10% of the issued share capital of the corporation, percentage of their ownership, up to the level of ultimate beneficial owners b. copies of identification document and address proof of the beneficiary owners	
6. Chinese Translation Consent Letter	a. sign according to account mandate b. for clients of China and Taiwan and companies with principal place of business in these two countries.	<input type="checkbox"/>

*\* copy certified by any other licensed or registered person, an affiliate of a licensed or registered person, a JP (Justice of the Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public*

**Remarks: Required documents may vary depending on the case. Upon review of the above listed documents, more documents may be requested as necessary or appropriate.**

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**FOR INTERNAL USE ONLY**

<u>Original sighted?</u>	Licenced Representative	RO approval
<u>Signature:</u>		
<u>Date:</u>		