



# **Subscription Procedure**

### 10 Working Days Before End of Month

- 1.Open Sino-Rich Account
- 2.Fill-in Subscription Documents
- 3.Deposit Subscription Fund

### 5 Working Days Before End of Month

 Subscription Documents and Fund sent to Ardenton's Headquarter in BC, Canada by Sino-Rich

# Within 7 Working Days of the following Month

Received Welcome
 Letters and Subscription
 Confirmation from
 Ardenton and Sino-Rich

### Last Working Day of the Month

•Subscription Completed in BC, Canada

# Within 3 Workings of Every Months

 Interest Deposited into client's account in Sino-Rich





## **Documents for Account Opening**

To be summitted on or before 10 Working Days preceding End of Month:

#### **Documents for Sino-Rich Account Opening:**

- C1 Sino-Rich Account Opening Form
- C2 Sino-Rich Commission Table
- C3 Sino-Rich Professional Investor (PI) Consent Letter
- 1. Identity Prove Copy
- 2. Address Prove (Within 3 months)
- 3. Prove for PI Identity (e.g. Fund verification from bank)





### **Subscription Documents**

To be summitted on or before 10 Working Days preceding End of Month:

#### **Subscription Documents for Ardenton Products:**

#### a) Subscription for Preferred Securities (HK)

C4 – Sino-Rich – Third Party Payment Application

C5a – Sino-Rich – Investment Suitability Assessment Form – Preferred Securities (HK)

C6a - Sino-Rich - Subscription Arrangement Consent - Preferred Securities (HK)

C7a – Ardenton Subscription Agreement – Preferred Securities (HK)

C8a – Appendix (A-D) – Preferred Securities (HK)

#### b) Subscription for Hybrid Units (HK)

C4 – Sino-Rich – Third Party Payment Application

C5b – Sino-Rich – Investment Suitability Assessment Form – Hybrid Units (HK)

C6b – Sino-Rich – Subscription Arrangement Consent – Hybrid Units (HK)

C7b – Ardenton Subscription Agreement – Hybrid Units (HK)

C8b – Appendix (A-D) – Hybrid Units (HK)





### **Fund Deposit**

#### When the Sino-Rich account is opened, fund can be deposited into the account:

- 1. Deposit fund into any one of the following bank accounts.
  Account Name: Sino-Rich & Securities & Futures Limited (If there is no enough space when you operate online, you can use the simplified version: Sino-Rich Sec & Fut Ltd or ask your bank for help)
- 2. After depositing funds into Sino-Rich bank account, fax the bank pay-in slip to our company on the same day during office hours (fax no: 852-3101 0247) or email to us at cs@sinorichhk.com and call our customer services hotline at +852 3101 0504 / +86 14714302760 for confirmation.

Bank	Bank Account	Swift Code
	<b>Hong Kong Dollar</b>	
HSBC	808-086797-292	НЅВСНКНННКН
Hang Seng Bank	773-223359-669	HASEHKHHXXX
Chiyu Bank	039-730-0-0193276	CIYUHKHHXXX
Standard Chartered Bank	447-108-5061-4	SCBLHKHHXXX
Bank of China	01267610311809	вксннкннххх
Bank of China FPS	7035918	-
	US Dollar	
Standard Chartered Bank	447-078-8673-5	SCBLHKHHXXX