

Bright Smart Securities International (H.K.) Limited
耀才證券國際(香港)有限公司
Bright Smart Futures & Commodities Company Limited
耀才期貨及商品有限公司
Bright Smart Forex Limited
耀才環球外匯有限公司

Account No 帳戶號碼: _____
Date 日期: _____

Head Office : 10/F, Wing On House, 71 Des Voeux Road Central, Hong Kong.
總辦事處 : 香港中環德輔道中 71 號永安集團大廈 10 樓全層
Website 網址: www.bsgroup.com.hk
Tel 電話 : (852) 2537 1371
Fax 傳真 : (852) 2537 8031

ACCOUNT OPENING FORM 開戶表格 (Individual Account 個人帳戶 / Joint Account 聯名帳戶)

ACCOUNT TYPE INTRODUCTION 戶口類別簡介

Bright Smart Securities International (H.K.) Limited ("BS Securities")
includes the following accounts
耀才證券國際(香港)有限公司("耀才證券")包括以下賬戶

Securities Cash Account 證券現金賬戶

- For trading Hong Kong Stocks / Shanghai-Hong Kong Connect stocks / Shenzhen-Hong Kong Connect stocks
可交易香港股票 / 滬港通股票 / 深港通股票

Securities Margin Account 證券孖展賬戶

- For trading Hong Kong stocks / Shanghai-Hong Kong Connect stocks / Shenzhen-Hong Kong Connect stocks / US stocks / China B shares / Taiwan stocks / Singapore stocks / Japan stocks / Australia stocks / UK stocks / and other country stock markets
可交易香港股票 / 滬港通股票 / 深港通股票 / 美國股票 / 中國 B 股 / 台灣股票 / 新加坡股票 / 日本股票 / 澳洲股票 / 英國股票 / 及其他國家股票

Stock Options Account 股票期權賬戶

- For trading Hong Kong stock options
可交易香港股票期權

Stock Installment Account 月供股票賬戶

- For trading designated Hong Kong stocks in the form of monthly payment
可交易以月供形式指定的香港股票

Designated Securities Account 證券壹開拾賬戶

- For trading designated Hong Kong Stocks with only 10% deposit and 90% margin provided by BS Securities, relevant position must be closed on the same day
存入 10% 作按金, 本公司提供 90% 孖展, 交易指定香港股票, 但須即日平倉

Bright Smart Futures & Commodities Company Limited ("BS Futures")
includes the following accounts
耀才期貨及商品有限公司("耀才期貨")包括以下賬戶

Futures Account 期貨賬戶

- For trading Hong Kong Futures Exchange products and global futures products
可交易香港期貨交易所產品及全球期貨產品

Established Client Account 期貨壹開伍賬戶

- For only trading Hong Kong Futures Exchange products
只可交易香港期貨產品

Bright Smart Forex Limited ("BSFL") includes the following accounts
耀才環球外匯有限公司("耀才外匯")包括以下賬戶

Leveraged Global Forex Account 杠杆式外匯賬戶

- For trading global forex products
可交易全球外匯產品

The above licensed corporations are licensed under the Securities and Futures Ordinance and regulated by the Securities and Futures Commission. Please visit our company's website www.bsgroup.com.hk for more details and relevant products' information.

上述持牌法團均為證券及期貨條例下獲發牌之持牌法團并受證券及期貨事務監察委員會監管, 有關詳情及更多相關產品信息, 請瀏覽本公司網站 www.bsgroup.com.hk。

A. ACCOUNT TYPE 賬戶類別

A1. Entity of Client 客戶身份 ☐ Individual Account 個人帳戶 ☐ Joint Account 聯名帳戶

A2. Account Type(s) 賬戶類別

BS Securities 耀才證券

- ☐ Securities Cash Account
證券現金賬戶
Account No 帳戶號碼: _____
- ☐ Securities Margin Account
證券孖展賬戶
Account No 帳戶號碼: _____
- ☐ Stock Options Account
股票期權賬戶
Account No 帳戶號碼: _____
- ☐ Stock Installment Account
月供股票賬戶
Account No 帳戶號碼: _____
- ☐ Designated Securities Account
證券壹開拾賬戶
Account No 帳戶號碼: _____

BS Futures 耀才期貨

- ☐ Futures Account
期貨賬戶
Account No 帳戶號碼: _____
- ☐ Established Client Account
期貨壹開伍賬戶
Account No 帳戶號碼: _____

BSFL 耀才外匯

- ☐ Leveraged Global Forex Account (HKD)
杠杆式外匯賬戶 (港元)
Account No 帳戶號碼: _____
- ☐ Leveraged Global Forex Account (USD)
杠杆式外匯賬戶 (美元)
Account No 帳戶號碼: _____

A3. Method of Placing Order 落盤方式 ☐ By Telephone (Manual) 電話專人落盤 ☐ By Electronics 電子落盤

A4. Commission for trading US stocks (Client must open a Margin Account) 交易美股佣金計算選擇 (客戶必須開立孖展賬戶)

- ☐ US Stock commission charge per volume of the order (Default)
交易美股佣金以每單交易金額計算 (默認)
- ☐ US stock commission charge per share
交易美股佣金以每股計算

B. CLIENT INFORMATION 客户资料													
Account Holder (1) 账户持有人(1)	Account Holder (2) 账户持有人(2) (For Joint Account 适用于联名账户)												
B1. Personal Information 个人资料													
<p>Name: Mr. / Ms.* (* Please delete if not applicable) 姓名: 先生 / 女士 * (* 请删去不适用者)</p> <p>English 英文: _____</p> <p>Chinese 中文: _____</p> <p>ID Card */ Passport No. 身份证*/ 护照号码: _____</p> <p><i>*For non-permanent HK resident, please provide passport</i> <i>*非香港永久居民请提交护照</i></p> <p>Country of Tax Residence (Refers to Mainland or Hong Kong) * 报税地区 (指内地或香港): <input type="checkbox"/> 香港 Hong Kong <input type="checkbox"/> 内地 Mainland</p> <p>If the country of tax residence is neither Mainland China nor Hong Kong, please state your (1) Tax Residence, and (2) Taxpayer Identification Number or equivalent number (TIN) 如阁下的报税地区并非内地或香港, 请列明阁下的(1)报税地区, 及(2)税务编号或同等编号:</p> <p>_____</p> <p><i>* Please list out all tax residences and TINs *请列出所有报税地区及税务编号.</i></p> <table style="width: 100%;"><tr><td style="width: 50%;">Place of birth 出生地点: _____</td><td style="width: 50%;">Date of birth 出生日期: _____</td></tr></table> <p>Residential Address 住址: _____</p> <p>All Nationalities 全部国籍: _____</p> <table style="width: 100%;"><tr><td style="width: 50%;">Home Tel. No. 住宅电话号码: _____</td><td style="width: 50%;">Mobile Phone No. 手提电话号码: _____</td></tr><tr><td>Office Tel. No. 公司电话号码: _____</td><td>Fax No. 传真号码: _____</td></tr></table> <p>Email Address 电邮地址: _____</p> <p>CCASS Investor Account Name & No. (if any) 中央结算投资者户口名称及号码(如有): _____</p>	Place of birth 出生地点: _____	Date of birth 出生日期: _____	Home Tel. No. 住宅电话号码: _____	Mobile Phone No. 手提电话号码: _____	Office Tel. No. 公司电话号码: _____	Fax No. 传真号码: _____	<p>Name: Mr. / Ms.* (* Please delete if not applicable) 姓名: 先生 / 女士 * (* 请删去不适用者)</p> <p>English 英文: _____</p> <p>Chinese 中文: _____</p> <p>Relationship with Account Holder (1) 与账户持有人 (1) 的关系 : <input type="checkbox"/> Immediate Family 直系亲属 <input type="checkbox"/> Relatives 亲属 <input type="checkbox"/> Friends 朋友 <input type="checkbox"/> Others 其他: Please specify 请注明: _____</p> <p>ID Card*/ Passport No. 身份证*/ 护照号码: _____</p> <p><i>*For non-permanent HK resident, please provide passport</i> <i>*非香港永久居民请提交护照</i></p> <p>Country of Tax Residence (Refers to Mainland or Hong Kong) * 报税地区 (指内地或香港): <input type="checkbox"/> 香港 Hong Kong <input type="checkbox"/> 内地 Mainland</p> <p>If the country of tax residence is neither Mainland China nor Hong Kong, please state your (1) Tax Residence, and (2) Taxpayer Identification Number or equivalent number (TIN) 如阁下的报税地区并非内地或香港, 请列明阁下的(1)报税地区, 及(2)税务编号或同等编号:</p> <p>_____</p> <p><i>* Please list out all tax residences and TINs *请列出所有报税地区及税务编号.</i></p> <table style="width: 100%;"><tr><td style="width: 50%;">Place of birth 出生地点: _____</td><td style="width: 50%;">Date of birth 出生日期: _____</td></tr></table> <p>Residential Address 住址: _____</p> <p>All Nationalities 全部国籍: _____</p> <table style="width: 100%;"><tr><td style="width: 50%;">Home Tel. No. 住宅电话号码: _____</td><td style="width: 50%;">Mobile Phone No. 手提电话号码: _____</td></tr><tr><td>Office Tel. No. 公司电话号码: _____</td><td>Fax No. 传真号码: _____</td></tr></table> <p>Email Address 电邮地址: _____</p> <p>CCASS Investor Account Name & No. (if any) 中央结算投资者户口名称及号码(如有): _____</p>	Place of birth 出生地点: _____	Date of birth 出生日期: _____	Home Tel. No. 住宅电话号码: _____	Mobile Phone No. 手提电话号码: _____	Office Tel. No. 公司电话号码: _____	Fax No. 传真号码: _____
Place of birth 出生地点: _____	Date of birth 出生日期: _____												
Home Tel. No. 住宅电话号码: _____	Mobile Phone No. 手提电话号码: _____												
Office Tel. No. 公司电话号码: _____	Fax No. 传真号码: _____												
Place of birth 出生地点: _____	Date of birth 出生日期: _____												
Home Tel. No. 住宅电话号码: _____	Mobile Phone No. 手提电话号码: _____												
Office Tel. No. 公司电话号码: _____	Fax No. 传真号码: _____												

B2. Employment Status 工作状态	
<div><div>Name of Employer* 雇主名称:</div><div>Office Address 公司地址:</div><div>Nature of Business 业务性质:</div><div><div>Position 职位:</div><div>Years of Service 服务年资:</div></div><div>Other Form of Employment Status (please specify) 其他形式的雇佣状态（请说明）:</div><div><div></div><div>* Please provide valid name card *请提供有效名片</div></div></div>	<div><div>Name of Employer* 雇主名称:</div><div>Office Address 公司地址:</div><div>Nature of Business 业务性质:</div><div><div>Position 职位:</div><div>Years of Service 服务年资:</div></div><div>Other Form of Employment Status (please specify) 其他形式的雇佣状态（请说明）:</div><div><div></div><div>* Please provide valid name card *请提供有效名片</div></div></div>
B3. Financial Profile 财务状况	
<div><div>Annual Income (HK\$) 每年收入 (港币): <div><div><input type="checkbox"/> <\$500,000</div><div><input type="checkbox"/> \$500,000 ~ \$1,000,000</div><div><input type="checkbox"/> \$1,000,001 ~ \$2,000,000</div><div><input type="checkbox"/> >\$2,000,000</div></div></div><div>Total Net Value of Assets (HK\$) 资产净值 (港币): <div><div><input type="checkbox"/> <\$1,000,000</div><div><input type="checkbox"/> \$1,000,000 ~ \$3,000,000</div><div><input type="checkbox"/> \$3,000,001 ~ \$8,000,000</div><div><input type="checkbox"/> >\$8,000,000</div></div></div><div>Ownership of Residence 住宅业权: <div><div><input type="checkbox"/> Owned 自置</div><div><input type="checkbox"/> Rented 租用</div><div><input type="checkbox"/> Mortgaged 按揭</div></div><div><input type="checkbox"/> Living with Family 与家人同住</div></div><div>Address of Any Owned or Mortgaged Property 如有自置或按揭物业，请填写物业地址: <div><div>1.</div><div>2.</div><div>3.</div></div></div><div><div>Information in relation the Initial Source of Funds 首次资金来源信息: Origin (Tick more than one box, if appropriate) 来源（如需要，可勾选多个） <div><div><input type="checkbox"/> Payroll/Commission/Pension 薪金/佣金/退休金</div><div><input type="checkbox"/> Savings 储蓄</div><div><input type="checkbox"/> Investment Return 投资收益</div><div><input type="checkbox"/> Individual Business 个人业务</div><div><input type="checkbox"/> Inheritance/Gift 继承/赠予</div><div><input type="checkbox"/> Sales Proceeds of Property/other assets 售出物业/其他资产所得</div><div><input type="checkbox"/> Others (please specify) 其他（请注明）</div></div></div><div>Place of Source of Funds (Tick more than one box, if appropriate) 资金来源地（如需要，可勾选多个） <div><div><input type="checkbox"/> Hong Kong 香港</div><div><input type="checkbox"/> China 中国</div><div><input type="checkbox"/> Other locations 其他地区</div></div></div><div><div>Recurring Source of Funds 持续资金来源 <div><div><input type="checkbox"/> Same as the Initial Source of Funds 与首次资金来源相同</div><div><input type="checkbox"/> Others (please specify) 其他（请注明）</div></div><div></div></div></div></div></div>	<div><div>Annual Income (HK\$) 每年收入 (港币): <div><div><input type="checkbox"/> <\$500,000</div><div><input type="checkbox"/> \$500,000 ~ \$1,000,000</div><div><input type="checkbox"/> \$1,000,001 ~ \$2,000,000</div><div><input type="checkbox"/> >\$2,000,000</div></div></div><div>Total Net Value of Assets (HK\$) 资产净值 (港币): <div><div><input type="checkbox"/> <\$1,000,000</div><div><input type="checkbox"/> \$1,000,000 ~ \$3,000,000</div><div><input type="checkbox"/> \$3,000,001 ~ \$8,000,000</div><div><input type="checkbox"/> >\$8,000,000</div></div></div><div>Ownership of Residence 住宅业权: <div><div><input type="checkbox"/> Owned 自置</div><div><input type="checkbox"/> Rented 租用</div><div><input type="checkbox"/> Mortgaged 按揭</div></div><div><input type="checkbox"/> Living with Family 与家人同住</div></div><div>Address of Any Owned or Mortgaged Property 如有自置或按揭物业，请填写物业地址: <div><div>1.</div><div>2.</div><div>3.</div></div></div><div><div>Information in relation the Initial Source of Funds 首次资金来源信息: Origin (Tick more than one box, if appropriate) 来源（如需要，可勾选多个） <div><div><input type="checkbox"/> Payroll/Commission/Pension 薪金/佣金/退休金</div><div><input type="checkbox"/> Savings 储蓄</div><div><input type="checkbox"/> Investment Return 投资收益</div><div><input type="checkbox"/> Individual Business 个人业务</div><div><input type="checkbox"/> Inheritance/Gift 继承/赠予</div><div><input type="checkbox"/> Sales Proceeds of Property/other assets 售出物业/其他资产所得</div><div><input type="checkbox"/> Others (please specify) 其他（请注明）</div></div></div><div>Place of Source of Funds (Tick more than one box, if appropriate) 资金来源地（如需要，可勾选多个） <div><div><input type="checkbox"/> Hong Kong 香港</div><div><input type="checkbox"/> China 中国</div><div><input type="checkbox"/> Other locations 其他地区</div></div></div><div><div>Recurring Source of Funds 持续资金来源 <div><div><input type="checkbox"/> Same as the Initial Source of Funds 与首次资金来源相同</div><div><input type="checkbox"/> Others (please specify) 其他（请注明）</div></div><div></div></div></div></div></div>

Applicable to all Account Holders (适用于所有账户持有人)

Investment Objective 投资目的:

☐ Capital Gain & Growth 资本增值 ☐ Hedging 对冲 ☐ Dividends Income 股息收益 ☐ Others 其他: _____

Investment Products and Investment Experience 曾买卖产品及投资经验:

<input type="checkbox"/> Shares 股票	<input type="checkbox"/> < 1 year 少于一年	<input type="checkbox"/> 1-5 years 一至五年	<input type="checkbox"/> 6-10 years 六至十年	<input type="checkbox"/> > 10 years 多于十年
<input type="checkbox"/> CBBC 牛熊证	<input type="checkbox"/> < 1 year 少于一年	<input type="checkbox"/> 1-5 years 一至五年	<input type="checkbox"/> 6-10 years 六至十年	<input type="checkbox"/> > 10 years 多于十年
<input type="checkbox"/> Warrants 衍生权证 (窝轮)	<input type="checkbox"/> < 1 year 少于一年	<input type="checkbox"/> 1-5 years 一至五年	<input type="checkbox"/> 6-10 years 六至十年	<input type="checkbox"/> > 10 years 多于十年
<input type="checkbox"/> Futures 期货	<input type="checkbox"/> < 1 year 少于一年	<input type="checkbox"/> 1-5 years 一至五年	<input type="checkbox"/> 6-10 years 六至十年	<input type="checkbox"/> > 10 years 多于十年
<input type="checkbox"/> Options 期权	<input type="checkbox"/> < 1 year 少于一年	<input type="checkbox"/> 1-5 years 一至五年	<input type="checkbox"/> 6-10 years 六至十年	<input type="checkbox"/> > 10 years 多于十年
<input type="checkbox"/> Leveraged Forex 杠杆式外汇	<input type="checkbox"/> < 1 year 少于一年	<input type="checkbox"/> 1-5 years 一至五年	<input type="checkbox"/> 6-10 years 六至十年	<input type="checkbox"/> > 10 years 多于十年
<input type="checkbox"/> Others 其他: _____	<input type="checkbox"/> < 1 year 少于一年	<input type="checkbox"/> 1-5 years 一至五年	<input type="checkbox"/> 6-10 years 六至十年	<input type="checkbox"/> > 10 years 多于十年

Knowledge of Derivative Products 对衍生产品的认识:

- The Client underwent training or attended courses on derivative products; and/or
客户曾接受有关衍生产品的培训或修读相关课程; 及/或
- The Client has current or previous work experience related to derivative products; and/or
客户现时或过去拥有与衍生产品有关的工作经验; 及/或
- The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc.
客户于过去 3 年曾执行 5 次或以上有关衍生产品的交易, 例如: 衍生权证、牛熊证、股票期权、期货及期权、商品、结构性产品及交易所买卖基金等。

☐ I/We (the Client) have the above experience and/or knowledge on derivative product(s).
本人(等)(客户)有上述一个或以上的经验。

☐ I/We (the Client) do not have the above experience and/or knowledge on derivative product(s), but I/we (the Client) confirm that I/we (the Client) fully read, agreed and understood the relevant risks of the derivative product(s). I/We (the Client) understand that I/we (the Client) have to acquire enough understanding on derivative product(s) before trading them and fully accept all relevant risks.
本人(等)(客户)没有上述经验, 但已细阅、同意及明白所有有关衍生产品的风险声明, 本人(等)(客户)明白于买卖有关衍生产品前必须先具备足够的认识, 并愿意接受一切有关的风险。

BS Securities, BS Futures and/or BSFL have accessed the Client based on the information provided above, and have notified the Client that it is compulsory to understand the derivative products before trading them. BS Securities, BS Futures and/or BSFL have also warned the Client about the nature and risk of the derivative products.

耀才证券, 耀才期货及/或耀才外汇已根据以上的资料对客户进行评估, 并已通知客户买卖有关衍生产品前必须先具备足够的认识, 及提示客户有关衍生产品之性质及风险。

The following bank account is the Settlement Account under and within the meaning of the “Terms and Conditions for Trading Account” and for the relevant settlement arrangements. The Client hereby instructs and authorizes BS Securities, BS Futures and/or BSFL to deposit all payments payable to the Client into the following bank account. BS Securities, BS Futures and/or BSFL shall not be held liable for any loss, expenses or damages suffered by the Client as a result of any delay in depositing such payments caused by any reason whatsoever.

以下的银行帐户是《交易帐户条款及条件》中定义的结算账户，并作有关之结算安排。客户谨此指示及授权耀才证券、耀才期货及/或耀才外汇将所有应付客户之款项存入下列之银行账户。耀才证券、耀才期货及/或耀才外汇不会就任何原因延迟存入款项令客户蒙受任何亏损、开支或赔偿承担任何法律责任。

Currency 货币	Name of Bank 银行名称	Account No. 帐户号码	Name of Account Holder 账户持有人名称
HKD 港币			
USD 美元			
CNY 人民币			

Please select one of the following method of communication 请选择以下其中一项通讯方法:

☐ By Mail 邮递: ☐ Residential Address 住宅地址 ☐ Office Address 公司地址

☐ Others 其他:

(Please note that the statement will be sent to Account Holder (1) by post 请留意结单将以邮递方式寄往账户持有人(1))

☐ By E-mail 电子邮件

Please note that BS Securities, BS Futures and/or BSFL reserve the absolute rights to use any method of communication to communicate with the Client as BS Securities, BS Futures and/or BSFL deem appropriate from time to time.
请注意耀才证券、耀才期货及/或耀才外汇保留最终决定权使用任何其不时认为适当的通讯方式与客户进行通讯。

I/We (the Client) hereby agree and appoint the following person as the Authorized Person as defined in the "Terms and Conditions for Trading Account". All account(s) maintained by the Client can be operated on the instructions of the Authorized Person. I/We (the Client) hereby declare that I/We (the Client) shall be fully responsible for any instructions given or purported to be given by the Authorized Person (including but not limiting to the verbal instructions or written instructions), and shall fully indemnify BS Securities, BS Futures and/or BSFL against all damages, losses, costs and expenses whatsoever incurred as a result of any act, inactivity or omission of the Authorized Person.

本人(等) (客户)谨此委任下列人士作为《交易帐户条款及条件》中所定义的获授权人士。客户持有之所有账户可根据获授权人士之指示运作。本人(等) (客户)兹声明对由获授权人士或声称获授权人士所发出之任何指示(包括但不限于口头指示或书面指示)承担全部责任, 并会就耀才证券、耀才期货及/或耀才外汇因该等获授权人士之任何行为, 不作为或遗漏而引致的一切赔偿、损失、费用及开支向耀才证券、耀才期货及/或耀才外汇作出全部弥偿。

When I, the Authorized Person listed below, after signing in the signature column herein below, indicated that I accept the abovementioned Client's authorization to become its Authorized Person. I hereby agree that shall be fully responsible for all the liabilities arising from the Client's relevant account(s) with BS Securities, BS Futures and/or BSFL and shall fully indemnify BS Securities, BS Futures and/or BSFL against all damages, losses, costs and expenses whatsoever incurred as a result of any act, inactivity or omission of the Client and/or myself.

当本人(获授权人士)于下列签署栏内签署后,即表示同意接受客户的授权成为其获授权人士,并同意承担客户之账户内之一切责任,亦须就耀才证券、耀才期货、及/或耀才外汇因客户及/或本人之任何行为,不作为或遗漏而引致的一切赔偿、损失、费用及开支向耀才证券、耀才期货及/或耀才外汇作出全部弥偿。

Name of Authorized Person 获授权人士姓名:	ID 身份证 / Passport No. 护照号码:	Accepted and Signed by Authorized Person 获授权人士接纳和签署:
Relationship between Authorized Person and Client 客户与获授权人士之关系:	Contact No. 联络电话:	Confirmed and Signed by Client 由客户确认及签署:

D. DECLARATION 声明

D1. Identity Declaration 身份声明

D1.1. Does the Client have any relationship with the director(s) or employee(s) of BS Securities, BS Futures or BSFL or their respective associated companies?
客户是否与耀才证券、耀才期货及/或耀才外汇或其各自之联营公司之董事或雇员有任何关系?
☐ No ☐ Yes, the Client has the following relationship with the director(s) or employee(s) of BS Securities, BS Futures and/or BSFL or their respective associated companies:
否 是, 客户与耀才证券、耀才期货及/或耀才外汇或其各自之联营公司之董事或雇员有以下关系:

(Name of Director or Employee 董事或雇员姓名 / Relationship 关系)

D1.2. Is the Client a director or an employee or an accredited person of any exchange participant of the Hong Kong Exchange or any licensed or registered person of the Securities and Futures Commission?
客户是否香港交易所之交易所参与者或证监会之持牌人或注册人之董事、雇员或认可人士?
☐ No ☐ Yes, the Client is a director or an employee or an accredited person of the following exchange participant of the Hong Kong Exchange or licensed or registered person of the Securities and Futures Commission: (Please provide details)
否 是, 客户为以下香港交易所之交易所参与者或证监会之持牌人或注册人之董事、雇员或认可人士: (请详述)

(Please provide employer's written consent letter 请提供雇主之书面同意书)

D1.3. The Client hereby declares that he or she is the ultimate and sole beneficial owner(s) of the Account(s) and is fully responsible for all instructions for the operation of the said Account(s).
客户谨此声明是账户的最终及唯一实益拥有人, 并完全负责为该(等)账户运作所发出的一切指示。

D1.4. The Client hereby declares that he or she is not a United States resident for Foreign Account Tax Compliance Act (FATCA) purposes, and the income to which the said Account(s) related is not subjected to tax under FATCA. The Client undertakes to notify BS Securities, BS Futures, BSFL and relevant authorities for any change of circumstances stated in the W8BEN Form, without which the Client agrees that the W8BEN Form will be deemed renewed. The Client shall fully indemnify and hold harmless BS Securities, BS Futures and/or BSFL from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission.
客户谨此声明其并非《海外账户税收合规法案》下所定义之美国人士, 而且此账户下之相关的收入依《海外账户税收合规法案》毋须扣缴税款。客户承诺如于 W8BEN 表格中的情况有任何更改, 客户须通知耀才证券、耀才期货、耀才外汇及相关部门, 否则客户同意该 W8BEN 表格会被当作续期。客户亦同意悉数对耀才证券、耀才期货及/或耀才外汇因客户违规或遗漏而蒙受的任何索偿、损害、损失、费用及开支作出弥偿并保证其利益不受损害。

* Please submit the duly executed Self-Certification Form 请提交妥善签署的自我证明表格

D2. Related and Connected Margin Financing Account(s) 相关及关连保证金融资账户 (For Margin A/C only 只适用于保证金账户)

D2.1. Does the spouse of the Client have a margin account with BS Securities?
客户的配偶是否持有耀才证券的保证金账户?
☐ No ☐ Yes (please specify): Name of the Spouse Account No.
否 是 (请详述): 配偶姓名: 帐户号码:

D2.2. The Client hereby declares and confirms that 客户特此声明及确认:
- the Client, either alone or with his/her spouse, is/are not in control of 35% or more of the voting rights of another margin client of BS Securities.
客户并没有单独或与配偶共同控制耀才证券其他保证金账户持有人 35%或以上之表决权。
- there is no margin account with BS Securities that is opened by a member of the same group of companies of the Client.
客户并没有以客户的同一集团公司旗下之其他公司在耀才证券开立保证金账户。
- the Client does not belong to any group of connected margin clients as defined by Guidelines for Securities Margin financing Activities. The Client undertakes to notify BS Securities, BS Futures, BSFL for any change of circumstances.
客户并没有与其他耀才保证金客户有所关联 (详见《证券保证金融资活动指引》)。如有变更, 客户会通知耀才证券、耀才期货及/或耀才外汇。

D3. Client's Declaration, Confirmation and Agreement 客户声明、确认及协议

D3.1. The Client agrees to open the account(s) listed in Section A2 herein ("Account(s)") with BS Securities, BS Futures and/or BSFL, and is bound by the Account Opening Form, "Acknowledgement by Client", the relevant Sections of the "Terms and Conditions for Trading Account" and all the provisions of

the rules and guidelines promulgated by BS Securities, BS Futures and/or BSFL from time to time (collectively referred to as “All Those Terms”). All Those Terms have been published at www.bsgroup.com.hk. The Client has already been advised by BS Securities, BS Futures and/or BSFL to seek independent legal advice for All Those Terms. The Client agrees that BS Securities, BS Futures and/or BSFL can request the Client to sign any documents as required under All Those Terms.

Before opening the Account(s) with BS Securities, BS Futures and/or BSFL, the Client has fully read and understood the contents of All Those Terms and the Client agrees, accepts and confirms all their provisions and agrees and accepts to be bound by All Those Terms.

客户同意遵守开户表格、《客户守则》、《交易帐户条款及条件》之相关章节的所有条款及条件及其他由耀才证券、耀才期货及/或耀才外汇不时发出之守则及指引内之所有条款及条件 (统称“**该等条款**”) 开立此开户表格A2章节所列出的账户 (“**账户**”)。该等条款亦已刊载于www.bsgroup.com.hk上。耀才证券、耀才期货及/或耀才外汇已经建议客户对上述之该等条款寻求独立法律意见。客户同意耀才证券、耀才期货及/或耀才外汇有权要求客户签署该等条款所要求的任何文件。

客户在与耀才证券、耀才期货及/或耀才外汇开立账户前已经细阅及完全明白所有该等条款之内容，客户并同意、接受及确认该等条款内所有条款及条件，并同意及接纳受该等条款的约束。

- D3.2. The Client hereby acknowledges and confirms that the Client has authorized BS Securities, BS Futures and/or BSFL to deal with the Client's moneys, securities, the Collateral (as defined in the relevant sections the “Terms and Conditions for Trading Account”) and the Margin (as defined in relevant sections of the “Terms and Conditions for Trading Account”) upon and in accordance with the relevant part of Section X of the “Terms and Conditions for Trading Account” (the “**Relevant Standing Authority**”). The Client acknowledges and confirms that the contents and effects of the Relevant Standing Authority have been explained to the Client, and the Client fully understands:- (i) the contents and effects of the Relevant Standing Authority; and (ii) The Client hereby authorizes BS Securities, BS Futures and/or BSFL to renew the Relevant Standing Authority at their absolute discretion. The Standing Authority (Client Securities) is applicable to the Margin A/C and Futures A/C Clients while it is not applicable to Clients who only hold a Cash A/C. The Standing Authority (Client Money) is applicable to Clients with multiple accounts while it is not applicable to Clients holding one account only.

客户谨此知悉及确认，已根据《交易帐户条款及条件》内第十章之适用部分(“**适用常设授权**”), 授权耀才证券、耀才期货及/或耀才外汇 处置客户的金钱、证券、抵押品(其定义见《交易帐户条款及条件》之相关章节)及保证金(其定义见《交易帐户条款及条件》之相关章节)。客户知悉及确认适用常设授权的内容及作用已获清楚解释，而客户亦完全明白(i)适用常设授权的内容及作用；及(ii)客户已授权耀才证券、耀才期货及/或耀才外汇有绝对的酌情权延续适用常设授权。常设授权(客户证券)适用于保证金账户及期货账户的客户，并不适用于只持有现金账户的客户。常设授权(客户款项)适用于持有多于一个账户的客户，并不适用于只持有单一账户的客户。

- D3.3. The Client acknowledges and confirms the Relevant Standing Authority is required to be renewed annually. The Client has authorized BS Securities, BS Futures and/or BSFL to renew the Relevant Standing Authority annually and the Client has the choice to reject the renewal. If no written objection is received by mail from the Client, it means the Client agrees and accepts the extension and to be bound by the renewed Relevant Standing Authority.

客户知悉及确认适用常设授权每年需延续一次。客户已授权耀才证券、耀才期货及/或耀才外汇每年延续适用常设授权，客户可提出反对。如耀才证券、耀才期货及耀才外汇未收到客户书面反对，则表示客户同意及接受延续适用常设授权并继续受其约束。

- D3.4. The Client declares and confirms that all the information provided in this Account Opening Form is true, complete and correct and authorizes BS Securities, BS Futures and/or BSFL to confirm this from any source. The Client undertakes that he shall immediately inform BS Securities, BS Futures and/or BSFL of any change of the aforesaid information.

客户声明及确认，所有填写于本开户表格的数据均属真实，完全及正确，并授权耀才证券、耀才期货及/或耀才外汇可向任何方面查证。客户承诺，如客户提供给耀才证券及/或耀才期货或耀才外汇用于开户的数据有任何的更改及必须立即通知耀才证券、耀才期货及/或耀才外汇有关所有提供数据之变更。

- D3.5. The Client acknowledges and confirms that the following Licensed Person has already explained the Risk Disclosure Statements as set out in Section IX of the “Terms and Conditions for Trading Account” in a language of the Client's choice. The Client confirms that the Client has been invited to ask questions in writing and seek independent legal advice, and that the Client fully understood and accepted all the aforesaid Risk Disclosure Statements.

客户知悉及确认以下持牌人士已根据客户所选择的语言向其提供及解释《交易帐户条款及条件》内第九章的风险披露声明。客户亦确认已获邀请透过书面途径提出问题及寻求独立法律意见，并确认客户已完全明白及接受所有上述的风险披露声明。

- D3.6. The Client acknowledges and confirms to trade derivative products with and through BS Securities, BS Futures and/or BSFL unless otherwise ticked in the box below. The Client confirms and accepts the explanation of risks in trading different derivative products provided by BS Securities, BS Futures and/or BSFL. The Client clearly understands the risks that may be caused by trading these derivative products and agrees to bear such risks, as well as to take responsibilities involved.

除非客户在下面方格内加上剔号，否则客户知悉及同意与耀才证券、耀才期货及/或耀才外汇进行衍生产品买卖交易。客户现确认及接受耀才证券、耀才期货及/或耀才外汇就有关交易各类衍生产品作出之风险解释，客户清楚明白交易相关衍生产品所带来的风险及同意承担风险及责任。

☐ I/We (the Client) will NOT trade derivative products with and through BS Securities, BS Futures and/or BSFL. However, if I/We (the Client) start trading derivative products with and through BS Securities, BS Futures and/or BSFL, I/We (the Client) acknowledge and accept the risks that may be caused by trading these derivative products and agrees to bear such risks, as well as to take responsibilities involved.

本人(等)(客户)不会在耀才证券、耀才期货及/或耀才外汇进行衍生产品买卖交易。如本人(等)(客户)日后决定通过耀才证券、耀才期货及/或耀才外汇进行衍生产品买卖交易，即代表本人(等)(客户)知悉及接受交易相关衍生产品所带来的风险及同意承担风险及责任。

- D3.7. The Client acknowledges and confirms that the Client should pay attention to the announcement / notice promulgated on www.bsgroup.com.hk from time to time.

客户知悉及确认客户应不时留意于 www.bsgroup.com.hk 刊载的公告及通知。

- D3.8. I/We (The Client) am/are hereby informed that BS Securities, BS Futures, BSFL and/or BS Group Companies (as defined in the “Terms and Conditions for Trading Account”) intends to use and transfer within BS Group Companies my/our personal data for the direct marketing of: (i) Financial services and investment products; (ii) Related promotional schemes; (iii) Financial and investment advices; or (iv) promotional and marketing events of BS Group Companies for the aforesaid services or products. Such personal data includes my/our name(s), contact details, financial background and statistical data which are provided to BS Group Companies under this Account Opening Form or obtained by BS Group Companies from time to time. I/We understand that I/We may, at any time, require BS Group Companies to cease to use or transfer within BS Group Companies my/our personal data for direct marketing through such channel prescribed by BS Group Companies.

本人(等)(客户)现获告知耀才证券、耀才期货、耀才外汇及/或耀才集团公司拟使用及在耀才集团公司(如《交易帐户条款及条件》中所定义)之间转移本人(等)于耀才集团公司之个人资料以直接促销: (i) 金融服务和产品; (ii) 相关优惠计划; (iii) 金融与投资建议; 或(iv) 耀才集团公司就前述产品及服务之业务推广和宣传活动。该等个人资料包括本人(等)在本开户表格中向耀才集团公司提供的及耀才集团公司不时获得的姓名、联络详情、财务背景及统计资料等个

人资料。本人(等)明白本人(等)可以随时通过耀才集团公司指定的渠道要求耀才集团公司停止在直接促销中使用本人(等)的个人资料。

- ☐ I/We (the Client) do not wish the BS Group Companies to use my/our personal data in direct marketing.
本人(等) (客户)不希望耀才集团公司使用本人(等)的个人资料作直接促销用途。
- ☐ I/We (the Client) do not wish my/our personal data to be transferred within BS Group Companies for use in direct marketing.
本人(等) (客户)不希望耀才集团公司之间转移本人(等)的个人资料作直接促销用途。

D3.9. I/We (The Client) acknowledge and accept the terms in Section I and Section IX of the "Terms and Conditions for Trading Account" relating to trading of A-Shares via the Northbound trading under Shanghai-Hong Kong Stock Connect/Shenzhen-Hong Kong Stock Connect (collectively referred to as "**Stock Connect**") through BS Securities. The Client understands and accepts the risks relating to the Northbound trading under Stock Connect and agrees to bear such risks, as well as to take responsibilities involved.

本人(等)(客户) 知悉及同意《交易帐户条款及条件》内第一章及第九章内有关通过耀才证券进行沪港通及/或深港通之交易的相关条款。本人(等)(客户)明白及同意通过耀才证券在沪港通及/或深港通的北向交易之下, 进行 A 股交易之的相关风险及责任。

- ☐ I/We (the Client) will NOT trade A-shares under Stock Connect with and through BS Securities. However, if I/We (the Client) conduct any trading of A-shares under Stock Connect through BS Securities, I/We (the Client) acknowledge and accept the risks relating to trading of A-Shares under Stock Connect and agree to bear such risks, as well as to take responsibilities involved.

本人(等)(客户)不会通过耀才证券在沪港通及/或深港通下进行A股交易。如本人(等)(客户)日后决定通过耀才证券在沪港通及/或深港通下进行A股交易, 即代表本人(等)(客户)知悉及接受沪港通及/或深港通交易所带来的风险及同意承担风险及责任。

D3.10. I/We (the Client) hereby declare that after signing in the signature column herein below by myself/ourselves (the Client), indicated that I/We (the Client) have already fully read, confirmed, agreed, accepted, understood and am/are willing to comply with All Those Terms (including all the relevant contents and provisions of this Account Opening Form, "Acknowledgement by Client", the relevant sections of the "Terms and Conditions for Trading Account") and the Risk Disclosure Statements as set out Section IX of the "Terms and Conditions for Trading Account". In relation to all the above mentioned contents and provisions, I/We (the Client) have been invited to seek independent legal advice and have also understood and accepted all the contents and provisions.

本人(等)(客户)兹声明, 当本人(等)(客户)于下列签署栏内签署后, 即表示本人(等)(客户)已完全细阅、确认、同意、接受、明白及愿意遵守该等条款(包括本开户表格内各项之所有内容、《客户守则》、《交易帐户条款及条件》之相关章节) 及《交易帐户条款及条件》内第九章的风险披露声明的所有内容和细则。关于上述各项所有内容和细则, 本人(等)(客户)已获邀请寻求独立法律意见, 并完全明白及接受所有其内容和细则。

Client Signature

客户签署: _____ (1)

Client Signature

客户签署: _____ (2)

Name of Client

客户姓名: _____ (1)

Name of Client

客户姓名: _____ (2)

Date

日期: _____ (1)

Date

日期: _____ (2)

Name of Witness

见证人名称: _____

Signature of Witness

见证人签署: _____

Risk Disclosure Statements 风险披露声明 (to be completed by staff 此栏由职员填写)

Name of Staff

职员姓名: _____

CE No.:

中央编号: _____

Representing:

BS Securities

BS Futures

BSFL

代表: ☐ 耀才证券 ☐ 耀才期货 ☐ 耀才外汇

I have clearly explained the Risk Disclosure Statements as set out in Section IX of the "Terms and Conditions for Trading Account" in a language of the Client's choice and have also invited and suggested the Client to ask questions and to seek independent legal advice.

本人已根据客户所选择的语言向其提供及解释《交易帐户条款及条件》内第九章的风险披露声明, 并已邀请及建议客户就其内容和细则提出问题及寻求独立法律意见。

Signature of Staff

职员签署: _____

Position

职位: _____

Date

日期: _____