

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, H.K.  
總辦事處 : 香港中環德輔道中 71 號永安集團大廈 10 樓全層  
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Bright Smart Securities International (H.K.) Limited ("BS Securities") is licensed to carry on Type 1 regulated activity (dealing in securities) under the Securities and Futures Ordinance (CE No. AEZ575).

耀才證券國際(香港)有限公司("耀才證券")根據證券及期貨條例獲發牌經營第一類受規管活動(證券交易)(中央編號: AEZ575)。

Bright Smart Futures & Commodities Company Limited ("BS Futures") is licensed to carry on Type 2 regulated activity (dealing in futures contracts) under the Securities and Futures Ordinance (CE No. ADH427)

耀才期貨及商品有限公司("耀才期貨")根據證券及期貨條例獲發牌經營第二類受規管活動(期貨合約交易)(中央編號: ADH427)。Bright Smart Forex Limited ("BSFL") is licensed to carry on Type 3 regulated activity (leveraged foreign exchange trading) under the Securities and Futures Ordinance (CE No. AZK567).

耀才環球外匯有限公司("耀才外匯")根據證券及期貨條例獲發牌經營第三類受規管活動(槓桿式外匯交易)(中央編號: AZK567)。

### ACCOUNT OPENING FORM 開戶表格 (Corporate Account 公司賬戶)

#### A. ACCOUNT TYPE 帳戶類別

##### A1. Account Type(s) 帳戶類別

- |  |  |
|--|--|
| <input type="checkbox"/> Securities Account (Cash Account)<br>現金證券帳戶         | <input type="checkbox"/> Securities Account (Margin Account)<br>孖展(融資)證券帳戶                                   |
| <input type="checkbox"/> Stock Instalment Account<br>月供股票帳戶                  | <input type="checkbox"/> US Stock commission charge per volume of the order (Default)<br>交易美股佣金以每單交易金額計算(預設) |
| <input type="checkbox"/> Established Client Account<br>期貨壹開貳帳戶               | <input type="checkbox"/> US stock commission charge per share<br>交易美股佣金以每股計算                                 |
| <input type="checkbox"/> Leveraged Global Forex Account (HKD)<br>槓桿式外匯帳戶(港元) | <input type="checkbox"/> Futures Account<br>期貨帳戶   |
|  | <input type="checkbox"/> Stock Options Account<br>股票期權帳戶   |
|  | <input type="checkbox"/> Leveraged Global Forex Account (USD)<br>槓桿式外匯帳戶(美元)                                 |

##### A2. Method of Placing Order 落盤方式

By Telephone (Manual) 電話專人落盤

By Electronics 電子落盤

**B. CLIENT INFORMATION 客戶資料****B1. Corporate Information 公司資料**

Client Name

客戶名稱

English

英文：\_\_\_\_\_

Chinese

中文：\_\_\_\_\_

**Type of Client 客戶類別** Sole Proprietorship 獨資經營商號 Limited company 有限公司 Listed Company 上市公司

Country of Listing (Stock Code) 上市國家 (股票代號)

 Non-listed Company 非上市公司Small and Medium Enterprises 中小企業  Yes 是  No 否 Partnership 合夥組織 Trustee 受託人 Others (Please specify) 其他 (請註明)

Scope of Business

業務範圍：

Registered Address

註冊地址：

Business Address(es) (\*Please specify all active business addresses)

業務地址 (\*請列出所有實際業務地址)：

Country of Incorporation

註冊成立國家：

Date of Incorporation

註冊成立日期：

Business Registration No.

商業登記號碼：

Certificate of Incorporation No.

公司註冊號碼：

Office Tel. No.

公司電話號碼：

Fax No.

傳真號碼：

Email Address

電郵地址：

CCASS Investor Account Name &amp; No.

中央結算投資者戶口名稱及號碼：

**B2. Director 董事**

Name of Director 董事姓名	ID Card / Passport No 身份證 / 護照號碼	Place of birth / Nationality 出生地點 / 國籍	Contact No. 聯絡電話號碼	Residential Address 住宅地址
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

**B3. Financial Profile 財務狀況**

Paid Up Capital (HK\$)

繳足股本(港幣)：

Liquid Assets (HK\$)

流動資產(港幣)：

Net Asset Value (HK\$)

資產淨值(港幣)：

Latest Annual Profit (HK\$)

最近年度利潤(港幣)：

Year(s) of Experience in Industry 行業經驗

Address of Any Owned or Mortgaged Property

如有自置或按揭物業，請填寫物業地址：

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

**Information in relation the Initial Source of Funds**

首次資金來源信息：

Origin (Tick more than one box, if appropriate)

來源(如需要，可勾選多個)

- Business Owner 東主
- Business Income 營業收入
- Investment Return 投資回報
- Others (please specify) 其他(請註明) \_\_\_\_\_

Place of Source of Funds (Tick more than one box, if appropriate)

資金來源地(如需要，可勾選多個)

- Hong Kong 香港
- China 中國
- Other locations 其他地區 **Recurring Source of Funds**

持續資金來源

- Same as the Initial Source of Funds 與首次資金來源相同
- Others (please specify) 其他(請註明) \_\_\_\_\_

**B4. Client's Investment Profile and Knowledge of Derivative Products 客戶投資概況及對衍生產品的認識**

Investment Objective 投資目的：

- Capital Gain & Growth 資本增值
- Hedging 對沖
- Dividends Income 股息收益
- Others 其他：\_\_\_\_\_

Investment Products and Investment Experience 曾買賣產品及投資經驗：

- |  |  |   |  |  |
|--|--|---|--|--|
| <input type="checkbox"/> Shares 股票             | <input type="checkbox"/> < 1 year 少於一年 | <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 多於十年 |
| <input type="checkbox"/> CBBC 牛熊證              | <input type="checkbox"/> < 1 year 少於一年 | <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 多於十年 |
| <input type="checkbox"/> Warrants 衍生權證(窩輪)     | <input type="checkbox"/> < 1 year 少於一年 | <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 多於十年 |
| <input type="checkbox"/> Futures 期貨            | <input type="checkbox"/> < 1 year 少於一年 | <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 多於十年 |
| <input type="checkbox"/> Options 期權            | <input type="checkbox"/> < 1 year 少於一年 | <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 多於十年 |
| <input type="checkbox"/> Leveraged Forex 槓桿式外匯 | <input type="checkbox"/> < 1 year 少於一年 | <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 多於十年 |
| <input type="checkbox"/> Others 其他：_____       | <input type="checkbox"/> < 1 year 少於一年 | <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 多於十年 |

Knowledge of Derivative Products 對衍生產品的認識：

1. The Client underwent training or attended courses on derivative products; and/or

客戶曾接受有關衍生產品的培訓或修讀相關課程；及/或

2. The Client has current or previous work experience related to derivative products; and/or

客戶現時或過去擁有與衍生產品有關的工作經驗；及/或

3. 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.

客戶於過去3年曾執行5次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、股票期權、期貨及期權、商品、結構性產品及交易所買賣基金等。

- Our Company (the Client) has the above experience and/or knowledge on derivative product(s).  
本公司(客戶)有上述一個或以上的經驗。
- Our Company (the Client) does not have the above experience and/or knowledge on derivative product(s), but our Company (the Client) confirm that our Company (the Client) fully read, agreed and understood the relevant risks of the derivative product(s). I understand that I have to acquire enough understanding on derivative product(s) before trading them and I fully accept all relevant risks.  
本公司(客戶)沒有上述經驗，但已細閱、同意及明白所有關於衍生產品的風險聲明，本公司(客戶)明白於買賣有關衍生產品前必須先具備足夠的認識，並願意接受一切有關的風險。

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.

耀才證券、耀才期貨，及/或耀才外匯已根據以上的資料對客戶進行評估，並已通知客戶買賣有關衍生產品前必須先具備足夠的認識，及提示客戶有關衍生產品之性質及風險。

**B5. Settlement Account Information 結算帳戶資料**

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.

以下的銀行帳戶是《交易帳戶條款及條件》中定義的結算帳戶，並作有關之結算安排。客戶謹此指示及授權耀才證券、耀才期貨、及/或耀才外匯將所有應付客戶之款項存入下列之銀行帳戶。耀才證券、耀才期貨、及/或耀才外匯不須對基於任何原因而延遲存入款項令客戶蒙受的任何虧失、開支或賠償承擔任何法律責任。

Currency 貨幣	Name of Bank 銀行名稱	Account No. 帳戶號碼	Name of Account Holder 帳戶名稱
HKD 港幣	_____	_____	_____
USD 美元	_____	_____	_____
CNY 人民幣	_____	_____	_____

## B6. Method of Communication 通訊方法

Please select one of the following method of communication 請選擇以下其中一項通訊方法：

- By Mail 郵遞：  
 Business Address 業務地址  
 Others 其他：

(Please note that the statement will be sent to Client by post 請留意結單將以郵遞方式寄往客戶)

- By E-mail 電子郵件

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.

請注意耀才證券、耀才期貨、及/或耀才外匯保留最終決定權使用任何其不時認為適當的通訊方式與客戶進行通訊。

## C. AUTHORIZED PERSON 獲授權人士

C1.1. All instructions will follow the Client's Resolution (if Client is a company); Mandate (if Client is Sole Proprietorship/Partnership).  
所有指示以客戶的公司決議（如客戶為公司）或授權書（如客戶為獨資經營商號/合夥組織）為準。

Note: Please provide a certification of the Resolution or Mandate with list of Authorized Persons (identity information and title), signing instructions and the signature specimen of the Authorized Person(s).

備註：請提交一份公司決議或授權書的證明書，註明獲授權簽署人名單（身份信息及職銜），簽署安排及獲授權簽署人的簽字式樣。

## D. DECLARATION 聲明

### D1. Identity Declaration 身份聲明

D1.1. Does any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or Authorized Person of the Client have any relationship with the director(s) or employee(s) of BS Securities, BS Futures, or BSFL or their respective associated companies?

客戶之任何董事、主要股東、最終實益持有人、最終主要實益持有人或獲授權人士是否與耀才證券、耀才期貨、或耀才外匯或其各自之聯營公司之董事或僱員有任何關係？

- No 否  
 Yes, the director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or Authorized Person of 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:  
是，客戶之任何董事、主要股東、最終實益持有人、最終主要實益持有人或獲授權人士與耀才證券、耀才期貨、及/或耀才外匯或其各自之聯營公司之董事或僱員有以下關係：

(Name of Director or Employee 董事或僱員姓名 / Relationship 關係)

D1.2. Is any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or Authorized Person of 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?

客戶之任何董事、主要股東、最終實益持有人、最終主要實益持有人或獲授權人士是否香港交易所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士？

- No 否  
 Yes, the director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or Authorized Person of 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)  
是，客戶之任何董事、主要股東、最終實益持有人、最終主要實益持有人或獲授權人士為以下香港交易所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士：（請詳述）

(Please provide employer's written consent letter 請提供僱主之書面同意書)

D1.3. The Client 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).  
客戶是帳戶的最終及唯一實益擁有人，並完全負責為該(等)帳戶運作所發出的一切指示。

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.

客戶謹此聲明其並非《海外帳戶稅收合規法案》下所定義的美國人士，而且此帳戶下之相關的收入依《海外帳戶稅收合規法案》毋須扣繳稅款。客戶承諾如於 W8BEN 表格中的情況有任何更改，客戶須通知耀才證券、耀才期貨、耀才外匯及相關部門，否則客戶同意該 W8BEN 表格會被當作續期。客戶亦同意悉數對耀才證券、耀才期貨、及/或耀才外匯因客戶違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害。

\* Please submit the duly executed Self-Certification Form 請提交妥善簽署的自我證明表格

## D2. Related and Connected Margin Financing Account(s) 相關及關聯保證金融資帳戶(For Margin A/C only 只適用於保證金帳戶)

D2.1. The Client hereby declares and confirms that 客戶特此聲明及確認：

- the Client, either alone or with his/her spouse, is not in control of 35% or more of the voting rights of another margin client of BS Securities.

客戶並沒有單獨或與配偶共同控制耀才證券其他保證金帳戶持有人 35%或以上之表決權；

- there is no margin account with BS Securities that is opened by a member of the same group of companies of the Client.

客戶並沒有以客戶的同一集團旗下之其他公司在耀才證券開立保證金帳戶。

- 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.

客戶並沒有與其他耀才保證金客戶有所關聯（詳見《證券保證金融資活動指引》）。如有變更，客戶會通知耀才證券、耀才期貨及/或耀才外匯。

## D3. Client's Declaration, Confirmation and Agreement 客戶聲明、確認及協議

D3.1. The Client agrees to open the account(s) listed in Section A1 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. The Client's attention is particularly drawn to Section I to Section VIII, Section XII to Section XIV of the "Terms and Conditions for Trading Account".

客戶同意遵守開戶表格、《客戶守則》、《交易帳戶條款及條件》之相關章節的所有條款及條件及其他由耀才證券、耀才期貨、及/或耀才外匯不時發出之守則及指引內之所有條款及條件（統稱“該等條款”）開立此開戶表格A1章節所列出的帳戶（“帳戶”）。該等條款亦已刊載於www.bsgroup.com.hk上。耀才證券、耀才期貨、及/或耀才外匯已經建議客戶對上述之該等條款尋求獨立法律意見。客戶同意耀才證券、耀才期貨、及/或耀才外匯有權要求客戶簽署該等條款所要求的任何文件。

客戶於開立帳戶前已經細閱及完全明白所有該等條款之內容，客戶並同意、接受及確認該等條款內所有條款及條件，並同意及接納受該等條款的約束。

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 of the "Terms and Conditions for Trading Account") and the Margin (as defined in Section IV, Section XIII and Section XIV 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 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.

客戶謹此知悉及確認，已根據《交易帳戶條款及條件》內第十章之適用部分（“適用常設授權”），授權耀才證券、耀才期貨、及耀才外匯處置客戶的金錢、證券、抵押品（其定義見《交易帳戶條款及條件》之相關章節）及保證金（其定義見《交易帳戶條款及條件》之相關章節）。客戶知悉及確認適用常設授權的內容及作用已獲清楚解釋，而客戶亦完全明白(i)適用常設授權的內容及作用；及(ii)客戶已授權耀才證券、耀才期貨、及耀才外匯有絕對的酌情權延續適用常設授權。常設授權(客戶證券)適用於保證金帳戶及期貨帳戶的客戶，並不適用於只持有現金帳戶的客戶。常設授權(客戶款項)適用於持有多於一個帳戶的客戶，並不適用於只持有單一帳戶的客戶。

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.

客戶知悉及確認適用常設授權每年需延續一次。客戶已授權耀才證券、耀才期貨、及/或耀才外匯每年延續適用常設授權，客戶可提出反對。如耀才證券、耀才期貨、及耀才外匯未收到客戶書面反對，則表示客戶同意及接受延續適用常設授權並繼續受其約束。

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 BSFL to confirm this from any source. The Client undertakes that it shall immediately inform BS Securities, BS Futures, and BSFL of any change of the aforesaid information.

客戶聲稱，所有填寫於本開戶表格的資料均屬真實，完全及正確，並授權耀才證券、耀才期貨、及耀才外匯可向任何方面查證。客戶承諾，如客戶提供給耀才證券及/或耀才期貨或耀才外匯用於開戶的資料有任何的更改及必須立即通知耀才證券、耀才期貨、及耀才外匯有關所有提供資料之變更。

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.

客戶知悉及確認以下持牌人士已根據客戶所選擇的語言向其提供及解釋《交易帳戶條款及條件》內第九章的風險披露聲明。客戶亦確認已獲邀請透過書面途徑提出問題及尋求獨立法律意見，並確認客戶已完全明白及接受所有上述的風險披露聲明。

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.

除非客戶在下面方格內加上剔號，否則客戶知悉及同意與耀才證券及/或耀才期貨及/或耀才外匯進行衍生產品買賣交易。客戶現確認及接受耀才證券、耀才期貨、及/或耀才外匯就有關交易各類衍生產品作出之風險解釋，客戶清楚明白相關衍生產品所帶來的風險及同意承擔風險及責任。

- Our Company (the Client) will NOT trade derivative products with and through BS Securities, BS Futures, and/or BSFL. However, if Our Company (the Client) starts trading derivative products with and through BS Securities, BS Futures, and/or BSFL, Our Company (the Client) acknowledges and accepts the risks that may be caused by trading these derivative products and agrees to bear such risks, as well as to take responsibilities involved

本公司(客戶)不會在耀才證券、耀才期貨、及/或耀才外匯進行衍生產品買賣交易。如本公司(客戶)日後決定通過耀才證券、耀才期貨、及/或耀才外匯進行衍生產品買賣交易，即代表本公司(客戶)知悉及接受相關衍生產品所帶來的風險及同意承擔風險及責任。

D3.7. The Client acknowledges and confirms that the Client should pay attention to the announcement / notice promulgated on [www.bsgroup.com.hk](http://www.bsgroup.com.hk) from time to time.

客戶知悉及確認客戶應不時留意於 [www.bsgroup.com.hk](http://www.bsgroup.com.hk) 刊載的公告及通知。

D3.8. Our Company (the Client) is 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 Our Company's (the Client's) 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 our name, 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. Our Company (the Client) understand that Our Company (the Client) may, at any time, require BS Group Companies to cease to use or transfer within BS Group Companies Our Company's (the Client's) personal data for direct marketing through such channel prescribed by BS Group Companies.

本公司(客戶)現獲告知耀才證券、耀才期貨、耀才外匯及/或耀才集團公司(其定義見《交易帳戶條款及條件》)擬使用及在耀才集團公司之間轉移本公司(客戶)於耀才集團公司之個人資料以直接促銷:(i) 金融服務和產品;(ii) 相關優惠計劃;(iii) 金融與投資建議;或(iv) 耀才集團公司就前述產品及服務之業務推廣和宣傳活動。該等個人資料包括本公司(客戶)在本開戶表格中向耀才集團公司提供的及耀才集團公司不時獲得的姓名、聯絡詳情、財務背景及統計資料等個人資料。本公司(客戶)明白本公司(客戶)可以隨時通過耀才集團公司指定的渠道要求耀才集團公司停止在直接促銷中使用本公司(客戶)的個人資料。

- Our Company (the Client) does not wish the BS Group Companies to use Our Company's (the Client's) personal data in direct marketing.  
本公司(客戶)不希望耀才集團公司使用本公司(客戶)的個人資料作直接促銷用途。

- Our Company (the Client) does not wish Our Company's (the Client's) personal data to be transferred within BS Group Companies for use in direct marketing.  
本公司(客戶)不希望耀才集團公司之間轉移本公司(客戶)的個人資料作直接促銷用途。

D3.9. Our Company (The Client) acknowledge and accept the terms in 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.

本公司(客戶)知悉及同意《交易帳戶條款及條件》內有關通過耀才證券進行滬港通及/或深港通之交易的相關條款。本公司(客戶)明白及同意通過耀才證券在滬港通及/或深港通的北向交易之下，進行A股交易之的相關風險及責任。

- Our Company (the Client) will NOT trade A-shares under Stock Connect with and through BS Securities. However, if Our Company (the Client) conduct any trading of A-shares under Stock Connect through BS Securities, Our Company (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.

本公司(客戶)不會通過耀才證券在滬港通及/或深港通下進行A股交易。如本公司(客戶)日後決定通過耀才證券在滬港通及/或深港通下進行A股交易，即代表本公司(客戶)知悉及接受滬港通及/或深港通交易所帶來的風險及同意承擔風險及責任。

D3.10. Our Company (the Client) hereby declare that after signing in the signature column herein below by Our Company (the Client), indicated that Our Company (the Client) have already fully read, confirmed, agreed, accepted, understood and 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 in Section IX of the "Terms and Conditions for Trading Account". In relation to all the above mentioned contents and provisions, Our Company (the Client) has been invited to ask questions in writing and seek independent legal advice and have also understood and accepted all the contents and provisions.

本公司(客戶)茲聲明，當本公司(客戶)於下列簽署欄內簽署後，即表示本公司(客戶)已完全細閱、確認、同意、接受、明白及願意遵守該等條款(包括本開戶表格內各項之所有內容、《客戶守則》、《交易帳戶條款及條件》之相關章節)及《交易帳戶條款及條件》內第九章的風險披露聲明的所有內容和細則。關於上述各項所有內容和細則，本公司(客戶)已獲邀請透過書面途徑提出問題及尋求獨立法律意見，並完全明白及接受所有其內容和細則。

Name of Client  
客戶名稱： \_\_\_\_\_

Client Chop and Signature  
客戶印鑑及簽署： \_\_\_\_\_

Date  
日期： \_\_\_\_\_

Name of Authorized Person  
獲授權人士名稱： \_\_\_\_\_

Name of Witness  
見證人名稱： \_\_\_\_\_

Signature of Witness  
見證人簽署： \_\_\_\_\_

Note: This Declaration should be signed by the Sole Proprietor if the Client is a sole-proprietorship, all Partners if the Client is a partnership, or the Authorized Person(s) if the Client is a limited company.

備註：如申請機構為獨資經營商號，由東主簽署；如申請機構為合夥組織，由所有合夥人簽署；如申請機構為有限公司，由獲授權簽署人士簽署本聲明。

**Risk Disclosure Statements 風險披露聲明** (to be completed by staff 此欄由職員填寫)

Name of Staff \_\_\_\_\_ CE No. \_\_\_\_\_ Representing: BS Securities BS Futures BSFL  
職員姓名： \_\_\_\_\_ 中央編號： \_\_\_\_\_ 代表：  耀才證券  耀才期貨  耀才外匯

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.

本人已根據客戶所選擇的語言向其提供及解釋《交易帳戶條款及條件》內第九章的風險披露聲明，並已邀請及建議客戶就其內容和細則提出問題及尋求獨立法律意見。

Signature of Staff \_\_\_\_\_ Position \_\_\_\_\_ Date \_\_\_\_\_  
職員簽署： \_\_\_\_\_ 職位： \_\_\_\_\_ 日期： \_\_\_\_\_