

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")包括以下帳戶

Securities Cash Account 證券現金帳戶

- 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 證券孖展帳戶

- 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 股票期權帳戶

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

Stock Installment Account 月供股票帳戶

- 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 證券壹開拾帳戶

- 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")包括以下帳戶

Futures Account 期貨帳戶

- 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 期貨壹開伍帳戶

- 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")包括以下帳戶

Leveraged Global Forex Account 槓桿式外匯帳戶

- 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並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資訊, 請瀏覽本公司網站 www.bsgroup.com.hk。

A. ACCOUNT TYPE 帳戶類別

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

A2. Account Type(s) 帳戶類別

BS Securities 耀才證券

- ☐ Securities Cash Account
證券現金帳戶
Account No 帳戶號碼：_____
- ☐ Securities Margin Account
證券孖展帳戶
Account No 帳戶號碼：_____
- ☐ Stock Options Account
股票期權帳戶
Account No 帳戶號碼：_____
- ☐ Stock Installment Account
月供股票帳戶
Account No 帳戶號碼：_____
- ☐ Designated Securities Account
證券壹開拾帳戶
Account No 帳戶號碼：_____

BS Futures 耀才期貨

- ☐ Futures Account
期貨帳戶
Account No 帳戶號碼：_____
- ☐ Established Client Account
期貨壹開伍帳戶
Account No 帳戶號碼：_____

BSFL 耀才外匯

- ☐ Leveraged Global Forex Account (HKD)
槓桿式外匯帳戶 (港元)
Account No 帳戶號碼：_____
- ☐ Leveraged Global Forex Account (USD)
槓桿式外匯帳戶 (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 (客戶必須開立孖展帳戶)

- ☐ 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 (預設)
- ☐ US stock commission charge per share
交易美股佣金以每股計算

B. CLIENT INFORMATION 客戶資料**Account Holder (1) 帳戶持有人(1)****Account Holder (2) 帳戶持有人(2) (For Joint Account 適用於聯名帳戶)****B1. Personal Information 個人資料**

Name: Mr. / Ms.* (* Please delete if not applicable)

姓名：先生 / 女士 (* 請刪去不適用者)

English

英文：

Chinese

中文：

ID Card */ Passport No.

身份證*/ 護照號碼：

*For non-permanent HK resident, please provide passport

*非香港永久居民請提交護照

Country of Tax Residence (Refers to Mainland or Hong Kong) *

報稅地區 (指內地或香港)：

☐ 香港 Hong Kong ☐ 內地 Mainland

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)

如閣下的報稅地區並非內地或香港，請列明閣下的(1)報稅地區，及(2)稅務編號或同等編號：

* Please list out all tax residences and TINs *請列出所有報稅地區及稅務編號.

Place of birth

出生地點：_____

Date of birth

出生日期：_____

Residential Address 住址：

All Nationalities

全部國籍：_____

Home Tel. No.

住宅電話號碼：_____

Mobile Phone No.

手提電話號碼：_____

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 & No. (if any)

中央結算投資者戶口名稱及號碼(如有)：_____

Name: Mr. / Ms.* (* Please delete if not applicable)

姓名：先生 / 女士 (* 請刪去不適用者)

English

英文：

Chinese

中文：

Relationship with Account Holder (1) 與帳戶持有人 (1) 的關係：

☐ Immediate Family 直系親屬 ☐ Relatives 親屬☐ Friends 朋友 ☐ Others 其他： Please specify 請註明：

ID Card*/ Passport No.

身份證*/ 護照號碼：

*For non-permanent HK resident, please provide passport

*非香港永久居民請提交護照

Country of Tax Residence (Refers to Mainland or Hong Kong) *

報稅地區 (指內地或香港)：

☐ 香港 Hong Kong ☐ 內地 Mainland

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)

如閣下的報稅地區並非內地或香港，請列明閣下的(1)報稅地區，及(2)稅務編號或同等編號：

* Please list out all tax residences and TINs *請列出所有報稅地區及稅務編號.

Place of birth

出生地點：_____

Date of birth

出生日期：_____

Residential Address 住址：

All Nationalities

全部國籍：_____

Home Tel. No.

住宅電話號碼：_____

Mobile Phone No.

手提電話號碼：_____

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 & No. (if any)

中央結算投資者戶口名稱及號碼(如有)：_____

B2. Employment Status 工作狀況	
<div><div>Name of Employer* 僱主名稱：</div><div>Office Address 公司地址：</div><div>Nature of Business 業務性質：</div><div><div>Position 職位：</div><div>Years of Service 服務年資：</div></div><div>Other Form of Employment Status (please specify) 其他形式的僱傭狀態（請說明）：</div><div><div></div><div>* Please provide valid name card *請提供有效名片</div></div></div>	<div><div>Name of Employer* 僱主名稱：</div><div>Office Address 公司地址：</div><div>Nature of Business 業務性質：</div><div><div>Position 職位：</div><div>Years of Service 服務年資：</div></div><div>Other Form of Employment Status (please specify) 其他形式的僱傭狀態（請說明）：</div><div><div></div><div>* Please provide valid name card *請提供有效名片</div></div></div>
B3. Financial Profile 財務狀況	
<div><div>Annual Income (HK\$) 每年收入 (港幣)：</div><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>Total Net Value of Assets (HK\$) 資產淨值 (港幣)：</div><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>Ownership of Residence 住宅業權：</div><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 與家人同住</div><div>Address of Any Owned or Mortgaged Property 如有自置或按揭物業，請填寫物業地址：</div><div><div>1.</div><div>2.</div><div>3.</div></div><div>Information in relation the Initial Source of Funds 首次資金來源信息：</div><div>Origin (Tick more than one box, if appropriate) 來源（如需要，可勾選多個）</div><div><div><input type="checkbox"/> Payroll/Commission/Pension 薪金/佣金/退休金</div><div><input type="checkbox"/> Savings 儲蓄</div><div><input type="checkbox"/> Investment Return 投資收益</div><div><input type="checkbox"/> Individual Business 個人業務</div><div><input type="checkbox"/> Inheritance/Gift 繼承/贈予</div><div><input type="checkbox"/> Sales Proceeds of Property/other assets 售出物業/其他資產所得</div><div><input type="checkbox"/> Others (please specify) 其他（請註明）</div></div><div>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）</div><div><div><input type="checkbox"/> Hong Kong 香港</div><div><input type="checkbox"/> China 中國</div><div><input type="checkbox"/> Other locations 其他地區</div></div><div>Recurring Source of Funds 持續資金來源</div><div><div><input type="checkbox"/> Same as the Initial Source of Funds 與首次資金來源相同</div><div><input type="checkbox"/> Others (please specify) 其他（請註明）</div></div><div></div></div>	<div><div>Annual Income (HK\$) 每年收入 (港幣)：</div><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>Total Net Value of Assets (HK\$) 資產淨值 (港幣)：</div><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>Ownership of Residence 住宅業權：</div><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 與家人同住</div><div>Address of Any Owned or Mortgaged Property 如有自置或按揭物業，請填寫物業地址：</div><div><div>1.</div><div>2.</div><div>3.</div></div><div>Information in relation the Initial Source of Funds 首次資金來源信息：</div><div>Origin (Tick more than one box, if appropriate) 來源（如需要，可勾選多個）</div><div><div><input type="checkbox"/> Payroll/Commission/Pension 薪金/佣金/退休金</div><div><input type="checkbox"/> Savings 儲蓄</div><div><input type="checkbox"/> Investment Return 投資收益</div><div><input type="checkbox"/> Individual Business 個人業務</div><div><input type="checkbox"/> Inheritance/Gift 繼承/贈予</div><div><input type="checkbox"/> Sales Proceeds of Property/other assets 售出物業/其他資產所得</div><div><input type="checkbox"/> Others (please specify) 其他（請註明）</div></div><div>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）</div><div><div><input type="checkbox"/> Hong Kong 香港</div><div><input type="checkbox"/> China 中國</div><div><input type="checkbox"/> Other locations 其他地區</div></div><div>Recurring Source of Funds 持續資金來源</div><div><div><input type="checkbox"/> Same as the Initial Source of Funds 與首次資金來源相同</div><div><input type="checkbox"/> Others (please specify) 其他（請註明）</div></div><div></div></div>

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.

當本人(獲授權人士)於下列簽署欄內簽署後，即表示同意接受客戶的授權成為其獲授權人士，並同意承擔客戶之帳戶內之一切責任，亦須就耀才證券、耀才期貨、及/或耀才外匯因客戶及/或本人之任何行為，不作為或遺漏而引致的一切賠償、損失、費用及開支向耀才證券、耀才期貨及/或耀才外匯作出全部彌償。

Name of Authorized Person 獲授權人士姓名：	ID 身份證 / Passport No. 護照號碼：	Accepted and Signed by Authorized Person 獲授權人士接納和簽署：
Relationship between Authorized Person and Client 客戶與獲授權人士之關係：	Contact No. 聯絡電話：	Confirmed and Signed by Client 由客戶確認及簽署：

D. DECLARATION 聲明

D1. Identity Declaration 身份聲明

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?
客戶是否與耀才證券、耀才期貨或/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 ☐ 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，客戶與耀才證券、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 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 ☐ 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，客戶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 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).
客戶謹此聲明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) 相關及關連保證金融資帳戶 (For Margin A/C only 只適用於保證金帳戶)

D2.1. Does the spouse of the Client have a margin account with BS Securities?
客戶的配偶是否持有耀才證券的保證金帳戶？
☐ No ☐ Yes (please specify): Name of the Spouse Account No.
否 是 (請詳述)： 配偶姓名： 帳戶號碼：

D2.2. 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/are 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公司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 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A2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。

客戶在與耀才證券、耀才期貨及/或耀才外匯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 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/或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/或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/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.

客戶聲明及確認，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/或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/或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、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，客戶清楚明白交易相關衍生產品所帶來的風險及同意承擔風險及責任。

☐ 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。如本人(等)(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，即代表本人(等)(客戶)知悉及接受交易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 from time to time.

客戶知悉及確認客戶應不時留意於 www.bsgroup.com.hk 刊載的公告及通知。

- 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/或耀才集團公司擬使用及在耀才集團公司（如《交易帳戶條款及條件》中所定義）之間轉移本人(等)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人(等)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。本人(等)明白本人(等)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人(等)的個人資料。

- ☐ I/We (the Client) do not wish the BS Group Companies to use my/our personal data in direct marketing.
本人(等) (客戶)不希望耀才集團公司使用本人(等)的個人資料作直接促銷用途。
- ☐ 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) (客戶)不希望耀才集團公司之間轉移本人(等)的個人資料作直接促銷用途。

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)(客戶) 知悉及同意《交易帳戶條款及條件》內第一章及第九章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。本人(等)(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。

- ☐ 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。如本人(等)(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，即代表本人(等)(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. 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)(客戶)茲聲明，當本人(等)(客戶)於下列簽署欄內簽署後，即表示本人(等)(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，本人(等)(客戶)已獲邀請尋求獨立法律意見，並完全明白及接受所有其內容和細則。

Client Signature

客戶簽署：_____ (1)

Client Signature

客戶簽署：_____ (2)

Name of Client

客戶姓名：_____ (1)

Name of Client

客戶姓名：_____ (2)

Date

日期：_____ (1)

Date

日期：_____ (2)

Name of Witness

見證人名稱：_____

Signature of Witness

見證人簽署：_____

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

Name of Staff

職員姓名：_____

CE No.:

中央編號：_____

Representing:

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

職員簽署：_____

Position

職位：_____

Date

日期：_____