

ACCOUNT APPLICATION FORM

BOCI Securities Limited (“BOCIS”)

20 / F, Bank of China Tower, 1 Garden Road, Hong Kong
18 / F, Grand Millennium Plaza, 181 Queen’s Road Central, Hong Kong
CE No.: AAC298

For internal use only

Sales / RM Code: _____

Referral Code: _____

Account No.: _____

Group ID: _____

Comm Code: _____

Account risk level:

high medium low

Please complete in BLOCK letters.

SECTION A GENERAL INFORMATION

Account Name

Account No. (for existing customer)

Type of Account:

Individual Account

Joint Account - Please state the total number of joint account holders:

Corporate Account

I.D. / Passport No. of Principal Account Holder
(for individual / joint account)

Certificate of Incorporation No.
(for corporate account)

SECTION B TYPE OF SERVICE REQUIRED

I / We would like to open and maintain trading account(s) to trade the following product(s):

Cash Securities

Margin Securities

Futures / Index Options / Commodity Options

Stock Options

Leveraged Foreign Exchange Trading

Designated Account for Capital Investment Entrant Scheme

Others: _____



Applicant's signature:

SECTION C SUBSCRIPTION OF ONLINE TRADING SERVICE

C – 1 Online Trading Service for Securities Trading

Required (Please continue to complete the rest of C-1) Not Required

I / We wish to use my / our existing online securities account login ID for my / our new securities trading account.

I / We wish to subscribe a new online securities account login ID for my / our new securities trading account.

Please provide 3 choices for online account login ID (6-15 alphanumeric, no space and symbol, e.g. paulchan123)

First Online Service User	Second Online Service User (Mandatory for joint account and optional for corporate account)
1.	1.
2.	2.
3.	3.

C – 2 Online Trading Service for Futures and Commodities Trading

Required Not Required

C – 3 Online Leveraged Foreign Exchange Trading

Required Not Required

SECTION D OPERATION OF ACCOUNT

Existing customer is not required to complete this section. The operation of account for new additional product(s) shall be same as the existing settings.

D – 1 Signing Arrangement *(for joint account only)*

We decide that the valid document in connection with the operation (including fund withdrawal and asset transfer) of our account must be signed in the following manner:

Singly by either account holder Jointly by joint account holders

D – 2 Corporate Communication *(for securities account only)*

Do you wish to receive the corporate communication for securities held in the CCASS Depository in Hong Kong of which you are the non-registered underlying owner(s)?

No

Yes, I / we hereby authorize BOCIS to disclose my / our name and correspondence address to the Hong Kong Securities Clearing Company Limited and / or the relevant registrars of the listed issuers. I / We undertake to advise BOCIS immediately of any change of such particulars and acknowledge that the sole duty of BOCIS in this respect is to dispatch my / our name and correspondence address to the aforesaid entities.

D – 3 Delivery of Statements

Please choose **one** of the following media for the delivery of statements:

Electronic Statement*

Daily and monthly electronic statements will be sent to your primary email address

Additional email address for duplicate statements (for **corporate account** only)

*BOCIS reserves the right from time to time and without prior notification to suspend or discontinue the delivery of statements by email resulting from the breakdown or failure of the transmission of email communication facilities. Statements will be sent to your latest correspondence address provided to BOCIS.

Physical Statement

Daily and monthly statements will be sent to your correspondence address by mail. (for *joint account*, statements will be sent to the correspondence address of the principal account holder)

Choice of Language: English Simplified Chinese

D – 4 SMS Instant Trade Confirmation

Required

I / We wish to receive execution results of the securities and / or futures and commodities orders via mobile phone's Short Message Service ("Instant Trade Confirmation"). Please send Instant Trade Confirmation to the registered Hong Kong mobile number of the principal account holder.

Securities Account (applicant has to subscribe online trading service for securities trading (Section C-1) simultaneously)

Futures/ Commodities/ Stock Options Account(s)

Instant Trade Confirmation service is only available to Hong Kong mobile number only, subject to service availability of network providers. BOCIS reserves the right from time to time and without prior notification to suspend or discontinue the delivery of Instant Trade Confirmation resulting from the breakdown or failure of the transmission or communication facilities.

Not Required

D – 5 Daily Trade Summary (for *corporate account* only)

Required (Please continue to complete the rest of D-5)

Not Required

Please choose **one** of the following media for receiving daily trade summary:

Fax

Office fax no.

Additional fax no. for duplicate trade summary

Email

Primary email address

Additional email address for duplicate trade summary

BOCIS reserves the right from time to time and without prior notification to suspend or discontinue the delivery of daily trade summary resulting from the breakdown or failure of the transmission or communication facilities.

Applicant's signature:

SECTION E APPLICANT'S DECLARATION

E - 1 Applicant's Acknowledgement and Confirmation

Prior to signing this Account Application Form, please:

- note that all transactions to be concluded with or through BOCIS shall be subject to the terms and conditions of the Customer Agreement (as defined below) ; and
- read the Customer Agreement (including Risk Disclosure Statement) which you have been provided in a language (English or Chinese) of your choice carefully, ask questions and take independent advice if you so wish.

(For New Customer)

- I / We acknowledge my / our receipt of the Customer Agreement of BOCIS (including all Sections thereunder and Appendices thereto), the Risk Disclosure Statement, the Customer Information Statement, the Account Application Form and any other agreements or documents related to the opening of the account(s), whenever applicable (collectively the "**Customer Agreement**") and confirm that the Customer Agreement (including Risk Disclosure Statement) were provided to me / us in a language (English or Chinese) of my / our choice and I / we was / were invited to read the Customer Agreement (including Risk Disclosure Statement) carefully, ask questions and take independent advice if I / we so wish. I / We confirm that I / we have carefully read, fully understood and accepted all the terms and provisions contained in the Customer Agreement (including Risk Disclosure Statement) and shall be bound by the Customer Agreement (including Risk Disclosure Statement) as it may be amended from time to time.

(For Existing Customer)

- I / We confirm that I / we have the Customer Agreement of BOCIS (including all Sections thereunder and Appendices thereto), the Risk Disclosure Statement, the Customer Information Statement, the Account Application Form and any other agreements or documents related to the opening of the account(s), whenever applicable (collectively the "**Customer Agreement**") which I / we have previously been provided with and do not require another copy of the Customer Agreement (including Risk Disclosure Statement). I / We understand that I am / we are entitled to request a further copy of the Customer Agreement (including Risk Disclosure Statement) at any time from BOCIS and / or I / we can access the Customer Agreement (including Risk Disclosure Statement) at any time on the website of BOCIS. I / We confirm that the Customer Agreement (including Risk Disclosure Statement) were provided to me / us in a language (English or Chinese) of my / our choice and I / we was / were invited to read the Customer Agreement (including Risk Disclosure Statement) carefully, ask questions and take independent advice if I / we so wish. I / We confirm that I / we have carefully read, fully understood and accepted all the terms and provisions contained in the Customer Agreement (including Risk Disclosure Statement) and shall be bound by the Customer Agreement (including Risk Disclosure Statement) as it may be amended from time to time.

I / We further acknowledge and agree that: (a) in the event of BOCIS' default and me / us having incurred a loss as a result thereof, the liability of the Investor Compensation Fund established under the Securities and Futures Ordinance (where applicable) will be restricted to the extent provided for therein, and (b) where securities are deposited with BOCIS or purchased pursuant to the Customer Agreement and held outside Hong Kong, I / we may not be afforded equivalent protection in respect of those securities as that afforded under Hong Kong law and I / we may not have the same rights as I / we have in respect of securities held in Hong Kong.

E - 2 Applicant's Declaration

For the purpose of opening any new / additional Account(s), I / we hereby authorize BOCIS to use the information provided by me / us in the Customer Agreement (including information previously provided by me / us for the existing Account(s)) to BOCIS ("**Customer Information**"). I / We represent that all Customer Information is in all respects true, complete and correct and that the representations in the Customer Agreement are accurate as at the date hereof. BOCIS is authorized at any time to contact any person, including but without limitations to my / our banks, brokers or any credit agency, for purposes of verifying the Customer Information.

I / We undertake to notify BOCIS in writing forthwith upon any changes in any such Customer Information. BOCIS is entitled to rely fully on any of my / our certification and confirmation contained for all purposes, unless BOCIS receives prior notice in writing of any changes thereof.

E - 3 Applicant's Consent to Use of Personal Data

I / We have carefully read, fully understood and agreed to accept and be bound by the Notice and Statement Relating to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) as set out in Appendix I and II (as applicable) to the Customer Agreement. In particular,

- I / We hereby consent to the use of my / our Customer Information for direct marketing directly related to the opening or continuation of my / our accounts with BOCIS and the provision of financial services by BOCIS to me / us.
- I / We hereby consent to the use of my / our Customer Information for direct marketing by BOCIS, any Group Company or other carefully selected financial, insurance, telecommunications service providers of other financial, insurance or telecommunications products and / or services **not** directly related to the opening or continuation of my / our accounts with BOCIS and the provision of financial services by BOCIS to me / us.

(Corporate account applicant only)

- Where personal data or information relating to any of our representatives (including directors, employees, agents, customer (direct or indirect) or affiliates) or any third party is provided to or held by BOCIS in the course of its business dealings with BOCIS, we undertake and represent that we have obtained the relevant consent of our representatives to enable BOCIS to use, process, deal, share or transfer such data or information in accordance with the purposes and requirements of Appendix I and II (as applicable) of the Customer Agreement and we agree that we will promptly provide evidence of such consents as and when requested by BOCIS.

E - 4 Applicant's Signature

For Individual / Joint Account

Principal Account Holder's Signature

Second / Other Account Holder's Signature

Print Name

Print Name

Date

Date

For Corporate Account

Signature (company chop (if any))

Print Name of Authorized Person

Print Name of Authorized Person (if any)

Date

FOR INTERNAL USE ONLY

Licensed Person's Declaration

I hereby solemnly swear that:

- I have witnessed the signature and inspected the original identity or company establishment documents of the above-named applicant.
- The applicant has been provided with the Customer Agreement (including Risk Disclosure Statement) in the language of the applicant's choice (English or Chinese); and the applicant has been invited to read the Customer Agreement (including Risk Disclosure Statement), ask questions and take independent advice if he / she so wishes.
- I have already explained to the applicant that if he / she is currently employed by any registered institution or licensed corporation to carry on regulated activities, the applicant is required to provide BOCIS a written consent from his / her employer in support of this account application .

Signature of Licensed Person

Print Name of Licensed Person

CE No.

Date

中銀國際證券有限公司

香港中环花园道1号中银大厦20楼
香港中环皇后大道中181号新纪元广场18楼
中央编号：AAC298

For internal use only

Sales / RM Code: _____

Referral Code: _____

Account No.: _____

Group ID: _____

Comm Code: _____

Account risk level:

high medium low

第A部份 基本资料

账户名称 (英文)

账户号码 (适用于现有客户)

账户种类：

个人账户

联名账户 - 请注明联名账户持有人总人数

公司账户

账户持有人之身份证 / 护照号码 (适用于个人 / 联名账户)

公司注册证明书编号 (适用于公司账户)

第B部份 需要服务种类

本人 / 吾等欲开立及维持交易账户，作为对以下产品交易之用：

现金证券

孖展证券

期货 / 指数期权 / 商品期权

股票期权

杠杆式外汇买卖

投资移民账户

其他：_____



申请人签名：

第C部份 申请网上交易服务

C - 1 网上证券交易服务

需要 (请继续填写余下的C - 1部份) 不需要

本人 / 吾等愿意使用本人 / 吾等现有之网上证券账户登入名称登入本人 / 吾等新开立的证券账户。

本人 / 吾等愿意申请一个全新的网上证券账户登入名称以登入新开立的证券账户。

请提供三个网上账户登入名称选择 (6 - 15个数字或字母，不能加入空格和符号，例：paulchan123)

第一网上服务用户	第二网上服务用户 (联名账户必须填写，公司账户可选择性填写)
1.	1.
2.	2.
3.	3.

C - 2 网上期货及商品交易服务

需要 不需要

C - 3 网上杠杆式外汇交易服务

需要 不需要

第D部份 账户操作

现有客户不须填写此部份。新增产品交易的账户运作会按现有账户设定维持不变。

D - 1 签署安排 (只适用于 **联名账户**)

有关决定吾等账户操作 (包括提款及资产转移) 之有效文件，吾等决定必须按照以下签署方式处理：

由任何单一一方账户持有人签署 由联名账户持有人同时签署

D - 2 公司通讯 (只适用于 **证券账户**)

阁下是否希望收取有关未以阁下名义登记持有但存放于香港中央结算系统内证券之公司通讯？

否

是，本人 / 吾等现授权中银国际证券有限公司，向香港中央结算有限公司及 / 或有关过户登记处披露本人 / 吾等之名称及通讯地址。本人 / 吾等承诺若该等资料有所更改时，必须立即通知中银国际证券有限公司，并知悉就此事宜中银国际证券有限公司只负责向上述机构披露本人 / 吾等之名称及通讯地址。

D - 3 结单寄发

请选择下列**其中一种**方式收取结单：

电子结单*

电子日结单及月结单将发送至阁下的基本电邮地址

额外电邮地址以收取电子结单复本（只适用于公司账户）

*倘若电邮通讯设备或其传送发生故障，中银国际证券有限公司保留权利，在不时及无需作任何事先通知的情况下，暂停或终止透过电邮向阁下发出结单。结单将以邮寄方式发送至阁下最后向我司提供之通讯地址。

书面结单

日结单及月结单将以邮寄方式发送至阁下之通讯地址（就联名账户，书面结单将寄至账户持有人之通讯地址）

语言选择： 英文 简体中文

D - 4 即时交易确认短讯

需要

本人 / 吾等希望透过手提电话接收证券及 / 或期货及商品交易的即时确认短讯。请把即时确认短讯发送致账户持有人已登记的香港手提电话。

证券账户（申请人须同时申请网上证券交易服务（C-1部分））

期货 / 商品 / 股票期权账户

即时交易确认短讯服务只适用于香港手提电话号码并视乎网络供应商是否提供该等服务。倘若电邮通讯设备或其传送发生故障，中银国际证券有限公司保留权利，在不时及无需作任何事先通知的情况下，暂停或终止向阁下发出交易确认短讯。

不需要

D - 5 每日成交总结（只适用于**公司账户**）

需要(请填写余下的D - 5 部份)

不需要

请选择下列**其中一种**方式收取每日成交总结：

传真

公司传真号码

额外传真号码以收取交易总结复本

电邮

基本电邮地址

额外电邮地址以收取交易总结复本

倘若通讯设备或其传送发生故障，中银国际证券有限公司保留权利，在不时及无需作任何事先通知的情况下，暂停或终止向阁下发出每日成交总结。

第E部份 申请人之声明

E - 1 申请人确认书

于签署此账户申请表前，敬请：

- 注意所有与中银国际证券有限公司完成或透过中银国际证券有限公司进行之交易均受客户协议 (定义请参阅下文) 之条件及条款所限制；及
- 细阅已按照阁下所选择的语言 (英文或中文) 而提供予阁下的客户协议 (包括风险披露声明)，提出问题及征求独立的意见 (如阁下有此意愿)。

(适用于新客户)

- 本人 / 吾等确认已收取中银国际证券有限公司之客户协议 (包括协议所有部份及附录)、风险披露声明、客户资料声明、账户申请表及其他与是次开户有关的协议及文件 (如适用) (合称「**客户协议**」) 及确认客户协议 (包括风险披露声明) 是按照本人 / 吾等所选择的语言 (英文或中文) 而提供，并已邀请本人 / 吾等阅读该客户协议 (包括风险披露声明)，提出问题及征求独立的意见 (如本人 / 吾等有此意愿)。本人 / 吾等确认本人 / 吾等已仔细阅读，充分理解并接受载于客户协议内 (包括风险披露声明) 的所有条款和规定，并同意遵守客户协议 (包括风险披露声明) 可能会不时修改的所有条款和规定。

(适用于现有客户)

- 本人 / 吾等确认已备有早前由中银国际证券有限公司提供之客户协议 (包括协议所有部份及附录)、风险披露声明、客户资料声明、账户申请表及其他与是次开户有关的协议及文件 (如适用) (合称「**客户协议**」) 及并不需要另一套客户协议 (包括风险披露声明)。本人 / 吾等明白本人 / 吾等有权随时要求中银国际证券有限公司提供另一套客户协议 (包括风险披露声明) 及 / 或本人 / 吾等随时可以于中银国际证券有限公司网页内获取一套客户协议 (包括风险披露声明)。本人 / 吾等确认客户协议 (包括风险披露声明) 是按照本人 / 吾等所选择的语言 (英文或中文) 而提供，本人 / 吾等已被邀请仔细阅读该客户协议 (包括风险披露声明)，提出问题及征求独立的意见 (如本人 / 吾等有此意愿)。本人 / 吾等确认本人 / 吾等已仔细阅读，充分理解并接受载于客户协议内 (包括风险披露声明) 的所有条款和规定，并同意遵守客户协议 (包括风险披露声明) 可能会不时修改的所有条款和规定。

本人 / 吾等进一步确认及同意，若因：(一) 中银国际证券有限公司之失误而导致本人 / 吾等蒙受损失，责任赔偿将限于根据证券及期货条例成立之投资者赔偿基金规定的范围内 (如适用)；(二) 假若证券寄存于中银国际证券有限公司或根据客户协议买入并于香港以外持有，本人 / 吾等便可能不能享有香港法例给予该等证券的同等保障，以及可能不能享有如同在香港持有该等证券的相同权利。

E - 2 申请人声明

就有关是次新开 / 新增账户之申请，本人 / 吾等特此授权中银国际证券有限公司使用本人 / 吾等在客户协议中所提供的资料 (包括本人 / 吾等在申请现有账户时所提供的资料) (下称「**客户资料**」)。本人 / 吾等确认有关客户资料在任何方面均为属实、完整及正确，及对客户协议中的陈述于下述日期均为准确。中银国际证券有限公司获授权随时联络任何人，包括但不限于本人 / 吾等之银行、经纪、或任何信用机构，以求证实客户资料。

本人 / 吾等承诺如客户资料有任何变更，本人 / 吾等将尽快以书面通知中银国际证券有限公司。除非中银国际证券有限公司接收到本人 / 吾等更改有关内容的书面通知，中银国际证券有限公司有权在任何情况下完全依赖本人 / 吾等的证明及确认。

E - 3 申请人个人资料使用同意书

本人 / 吾等已仔细阅读，完全理解并同意接受并遵守载于客户协议附录一及二 (如适用) 有关个人资料 (私隐) 条例 (香港法例第486章) 的通知及声明。尤其是，

- 本人 / 吾等同意使用本人 / 吾等的客户资料作为与本人 / 吾等于中银国际证券有限公司开立或继续维持账户，及中银国际证券有限公司向本人 / 吾等提供金融服务有关的直接促销之用。
- 本人 / 吾等同意中银国际证券有限公司、其任何集团公司或其他仔细挑选之金融、保险、电信服务提供商使用本人 / 吾等的客户资料作为直接促销与本人 / 吾等于中银国际证券有限公司开立或继续维持之账户，及中银国际证券有限公司向本人 / 吾等提供金融服务**无关**的其他金融、保险或电讯产品 / 服务之用。

(申请公司账户适用)

- 如吾等在和中银国际证券有限公司进行业务交易过程中向中银国际证券有限公司提供或被中银国际证券有限公司所持有吾等任何代表（包括董事、雇员、代理、客户（直接或间接）或关联方）或任何第三方的个人资料或数据，吾等承诺并声明，吾等已经获得吾等代表的相关同意，准许中银国际证券有限公司根据客户协议附录一和附录二所述目的和要求使用、处理、处置、分享或转移这些资料或数据，并且吾等同意将在中银国际证券有限公司提出请求时及时向中银国际证券有限公司提供有关上述同意的证明。

E - 4 申请人签署

个人 / 联名账户适用

账户持有人签署

账户第二/ 其他持有人签署

姓名

姓名

日期

日期

公司账户适用

签署 (公司印章 (如适用))

获授权人士姓名

获授权人士姓名 (如有)

日期

只供内部使用

持牌人士声明

本人在此确认：

- 本人已核查上述申请人之身份证明文件或公司注册文件之原本，并见证上述申请人之签名。
- 账户申请人已被提供按照其选择语言 (英文或中文) 的客户协议 (包括风险披露声明)，本人并且已邀请账户申请人阅读该客户协议 (包括风险披露声明)、提出问题及征求独立的意见 (如账户申请人有此意愿)。
- 本人已向账户申请人解释，假若账户申请人现受雇于任何从事证券及期货条例界定的受规管活动的持牌法团或注册机构，账户申请人必须向中银国际证券有限公司提供其雇主所发出的同意书以支持此账户之申请。

持牌人士签署

持牌人士姓名

中央编号

日期

