

## FUTURES ACCOUNT APPLICATION 申請期貨交易帳戶

(For Existing Individual / Joint Securities Trading Account Holder(s))  
現有個人 / 聯名證券交易帳戶持有人適用)

**Return ORIGINAL Form**  
**請交回此申請表正本**

**BOOM Account Name**  
**BOOM 帳戶名稱**

**Type of Account** (Please ✓ one)  Individual 個人帳戶  
**帳戶類別** (請選擇一項)  Joint 聯名帳戶

**Client Name** (Second Joint Account Holder)  
**客戶姓名** (聯名帳戶第二持有人)

**BOOM Account No.**  
**BOOM 帳戶號碼**

For existing **Individual / Joint Securities Trading Account Holder(s)** to add Futures Trading Account, please  
現有的 **個人 / 聯名證券帳戶持有人**，如欲申請增加期貨交易帳戶，請

- 1) **sign** this form; and 2) complete the **Individual Client Information Form**.
- 1) **簽署** 本申請表；及 2) 填寫 **個人客戶資料表格**。

## Client Declaration and Signature(s) 客戶聲明及簽署

### 1. Acknowledgement regarding Risk Disclosure Statement 關於風險披露聲明的確認

For Futures Trading Account Application 申請期貨交易帳戶

The **Risk Disclosures** as set out in the following Clause(s) of the Monex Boom Securities (H.K.) Limited: **Futures Client Agreement (April 2024 Edition)** ("the Futures Client Agreement") were provided to me/us in a language of my/our choice (English or Chinese) and I/we was/were invited to read, to ask questions and take independent advice if I/we so wish:

- Clause 26 of the Futures Client Agreement.

有關寶盛證券(香港)有限公司：**期貨客戶協議(二零二四年四月版)**(「期貨客戶協議」)內下列條款所列的「**風險披露**」，本人/吾等已獲提供所選擇語言之文本(英文或中文)，並已獲建議閱讀此等「**風險披露**」，提出問題及在有需要時，徵求獨立意見：

- 「期貨客戶協議」內第 26 條。

### 2. Acknowledgement regarding Accuracy of Information provided 關於提供準確資料的確認

I/We, the undersigned, declare and represent that I/We have examined the information as provided by me/us on the **Individual Client Information Form** are true, correct and complete and that the representations made by me/us are accurate. BOOM is entitled to rely fully on such information and representations for all purposes, unless BOOM receives notice in writing of any change.

本人/吾等同意本人/吾等在「**個人客戶資料表格**」所提供的資料均屬真實及正確。除非 BOOM 收到任何客戶資料改變的書面通知，BOOM 完全可以依靠這些資料及陳述作任何目的。

### 3. Acknowledgement regarding Use of Information provided 關於使用所提供資料的確認

I/We agree that the personal data in relation to any individual(s) provided to BOOM may be used, disclosed and/or transferred by BOOM for such purposes and to such persons in accordance with BOOM's Privacy Policy on BOOM's website. I/We understand that, I/We may arrange to be excluded from any of BOOM's future promotional mailings, at any time and without charges, by giving notification in writing to BOOM.

本人/吾等同意，本人/吾等向 BOOM 所披露之個人資料，可供 BOOM 進行核對 / 行政程序，或其他用途根據 BOOM 網站上的個人資料收集聲明。本人/吾等明白，本人/吾等只須致函 BOOM，即可隨時免費選擇不收取 BOOM 以後任何的宣傳郵件。

### 4. Acknowledgement regarding Joint Account Declaration 關於聯名帳戶聲明的確認 (For Joint Account Application Only 只適用於聯名帳戶)

We, the undersigned, have read, fully understood, accept and agree all provisions of **Joint Accounts** in the **Futures Client Agreement**. We understand that each of us is authorized to give verbal instructions and/or instructions to BOOM in relation to the purchase or sale of futures for the Futures Account from time to time. We also confirm the signing and ownership arrangements of the Futures Account are the same as that previously declared for our BOOM Account (as indicated at the top on the first page of the form).

吾等，下述簽署人士，已閱讀過、完全明白、接受及同意「**期貨客戶協議**」內的「**聯名帳戶**」條款。吾等明白吾等均有權為此期貨帳戶買賣期貨而不時向 BOOM 發出口頭及 / 或一般指示。吾等同時確認此期貨帳戶的簽名安排及帳戶承繼權安排與先前已開設的 BOOM 帳戶(本表格第一頁頁首所示)相同。

### 5. Execution of Agreement(s) 同意受協議條款所約束

For Futures Trading Account Application 申請期貨交易帳戶

I/We, the undersigned, have read and fully understood the attached provisions of the **Futures Client Agreement**, which have been provided to me/us in a language of my/our choice (English or Chinese). I/We accept and agree to be bound by the Futures Client Agreement in full as it may be amended from time to time.

本人/吾等，下述簽署客戶，已閱讀過及完全明白附上的、由本人/吾等所選擇語言之文本(英文或中文)的「**期貨客戶協議**」之條款。本人/吾等接受及同意受該「**期貨客戶協議**」現時有效及不時修改的條款所約束。

**First Applicant (Individual / Joint Account) 第一申請人(個人 / 聯名帳戶)**

**Second Applicant (Joint Account) 第二申請人(聯名帳戶)**

Signature 簽署

Date 日期 (YYYY/MM/DD 年/月/日)

Signature 簽署

Date 日期 (YYYY/MM/DD 年/月/日)



**INDIVIDUAL CLIENT INFORMATION FORM**  
**個人客戶資料表格**

(Applicable to Securities and Futures Accounts 適用於證券及期貨交易帳戶)

**Return FAX / SCANNED Form**  
**請以傳真 / 電郵方式交回本表格**

**Part I. Contact Information Amendment 更新聯絡資料**

**A. Contact Details 聯絡資料<sup>1 2</sup>**

**1. Telephone Number 聯絡電話**

|                     |   |                      |   |                      |
|---------------------|---|----------------------|---|----------------------|
| Home Tel.<br>住宅電話   | + | <input type="text"/> | - | <input type="text"/> |
| Office Tel.<br>公司電話 | + | <input type="text"/> | - | <input type="text"/> |

|                     |   |                      |   |                      |
|---------------------|---|----------------------|---|----------------------|
| Mobile Tel.<br>手提電話 | + | <input type="text"/> | - | <input type="text"/> |
|---------------------|---|----------------------|---|----------------------|

**2. E-mail<sup>3</sup> 電郵地址**

**3. Residential Address<sup>4</sup> 住宅地址**

(P.O. Box not accepted)  
(郵箱號碼恕不接受)

|            |                      |
|------------|----------------------|
| City<br>城市 | <input type="text"/> |
|------------|----------------------|

|                |                      |
|----------------|----------------------|
| Province<br>省份 | <input type="text"/> |
|----------------|----------------------|

|               |                      |
|---------------|----------------------|
| Country<br>國家 | <input type="text"/> |
|---------------|----------------------|

|                     |                      |
|---------------------|----------------------|
| Postal Code<br>郵政編號 | <input type="text"/> |
|---------------------|----------------------|

**Note 注意:**

- Please provide your personal mobile number / email address that is exclusively for your own use to ensure that your confidential account or transaction related information is delivered to you and accessed by you only. 請提供您個人專用的手提電話號碼 / 電郵地址, 以確保有關您帳戶或交易的信息只能被您接收及開啟。
- If you are a Key Person of any Corporate Account(s), same change(s) above will apply to respective profile(s). 倘若您同時為公司帳戶的主要人士, 則上述資料會同時更新到相關紀錄。
- This is the registered email address to be used for all major account communications. 這為帳戶的登記電郵地址用作所有主要聯繫。
- In compliance with the securities dealing restrictions in the U.S., please note that clients changing any of their addresses in our record to U.S. will not continue to enjoy our U.S. securities trading services. 為符合美國證券交易條例, 如您將帳戶記錄內的任何地址更改為美國地址, 則將不能繼續使用我們提供的美股交易服務。

**Part II. Personal Information Amendment 更新個人資料**

**A. Personal Particulars<sup>5</sup> 個人資料**

**1. New Legal Name 新法定全名**

(as on new ID / passport)  
(新身份證明 / 護照上顯示)

|             |                                  |                                 |
|-------------|----------------------------------|---------------------------------|
| Title<br>稱謂 | <input type="checkbox"/> Mr. 先生  | <input type="checkbox"/> Ms. 小姐 |
|             | <input type="checkbox"/> Mrs. 太太 | <input type="checkbox"/> Dr. 博士 |

|                      |                      |
|----------------------|----------------------|
| Chinese Name<br>中文姓名 | <input type="text"/> |
|----------------------|----------------------|

|                 |                             |
|-----------------|-----------------------------|
| Surname<br>英文姓氏 | First & Middle Name<br>英文名稱 |
|-----------------|-----------------------------|

(Use block letters 請以正楷填寫)

**2. New Official ID 新身份證明文件**

(Proof of citizenship and identity)  
(國籍及身份之證明)

|   |   |  |
|---|---|--|
| Type<br>證件種類<br>(Please ✓ one)<br>(請選擇一項)                         | If you have below HK, China or Macau ID:<br>如持有以下香港、中國或澳門證件:  | If you are a citizen of another country / region:<br>如身為其他地方的公民:           |
| <input type="checkbox"/> HKID<br>香港身份證                            | <input type="checkbox"/> Chinese (PRC) Citizens ID<br>中國公民身份證 | <input type="checkbox"/> Passport<br>個人護照                                  |
| <input type="checkbox"/> Macau Permanent Resident ID<br>澳門永久居民身份證 |   | <input type="checkbox"/> Others <sup>6</sup> , please specify:<br>其他, 請列明: |

|                |                      |
|----------------|----------------------|
| ID No.<br>證件號碼 | <input type="text"/> |
|----------------|----------------------|

|                        |                      |
|------------------------|----------------------|
| Issue Country<br>證件簽發地 | <input type="text"/> |
|------------------------|----------------------|

(Country 國家)

|  |
|--|
| <input type="checkbox"/> Attach official ID copy<br>附上身份證明文件副本 |
|--|

|                   |                      |
|-------------------|----------------------|
| Citizenship<br>國籍 | <input type="text"/> |
|-------------------|----------------------|

(Country 國家)

**3. Marital Status 婚姻狀況**

|                                    |                                     |
|------------------------------------|-------------------------------------|
| <input type="checkbox"/> Single 單身 | <input type="checkbox"/> Married 已婚 |
|------------------------------------|-------------------------------------|

**Note 注意:**

- If you are a Key Person of any Corporate Account(s), same change(s) above will apply to respective profile(s). 倘若您同時為公司帳戶的主要人士, 則上述資料會同時更新到相關紀錄。
- If you don't have any of the above, please check with us for other acceptable photo ID type. 倘若您沒有以上證件, 請聯絡我們查詢其他可接受的身份證明文件種類。

## Part II. Personal Information Amendment (cont'd) 更新個人資料(續)

### B. Education, Business & Occupation 教育程度 / 就業相關資料

|  |  |   |                  |  |                |                |               |   |  |  |                             |  |  |  |
|--|--|---|------------------|--|----------------|----------------|---------------|---|--|--|-----------------------------|--|--|--|
| 1. <b>Education Background</b><br>教育程度   | <input type="checkbox"/> Primary 小學程度 <input type="checkbox"/> Bachelor / Post-secondary 大學 / 大專程度<br><input type="checkbox"/> Secondary 中學程度 <input type="checkbox"/> Postgraduate Degree 研究學位  |   |                  |  |                |                |               |   |  |  |                             |  |  |  |
| 2. <b>Occupational Status</b><br>就業狀況<br><small>(Please ✓ one 請選擇一項)</small>   | <input type="checkbox"/> Unemployed 待業 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Homemaker 主婦 <input type="checkbox"/> Student 學生<br><input type="checkbox"/> Owner / Shareholder 東主 / 股東    Please complete "Industry" at Part II.B.3. 請填寫「業務性質」部分 (Part II.B.3)。<br><input type="checkbox"/> Self-employed 自僱    Please complete "Industry" at Part II.B.3. 請填寫「業務性質」部分 (Part II.B.3)。<br><input type="checkbox"/> Employed 受僱    Please complete "Industry", "Employment Info" and "Office Address" at Part II.B.3-5. 請填寫「業務性質」、「就業資料」及「公司地址」部分 (Part II.B.3 至 5)。   |   |                  |  |                |                |               |   |  |  |                             |  |  |  |
| 3. <b>Industry</b><br>業務性質   | <input type="checkbox"/> Securities / Finance 證券 / 金融 <input type="checkbox"/> Others, please specify: 其他, 請列明: _____  |   |                  |  |                |                |               |   |  |  |                             |  |  |  |
| 4. <b>Employment Info<sup>7</sup></b><br>就業資料  | <table border="1" style="width: 100%;"> <tr> <td style="width: 30%;">Co. Name<br/>公司名稱</td> <td style="width: 40%;"></td> <td style="width: 30%;">Ranking<br/>職級</td> </tr> <tr> <td>Position<br/>職銜</td> <td></td> <td> <input type="checkbox"/> Top Management 管理層<br/> <input type="checkbox"/> Managerial 經理<br/> <input type="checkbox"/> Supervisory 主任<br/> <input type="checkbox"/> Staff 一般員工         </td> </tr> <tr> <td colspan="2">Is your employer registered with the Securities and Futures Commission (SFC) of Hong Kong?<br/>您的僱主 / 公司是否香港證券及期貨事務監察委員會(證監會)註冊的公司?</td> <td>Years of Employment<br/>服務年資</td> </tr> <tr> <td colspan="2"></td> <td> <input type="checkbox"/> No 否    <input type="checkbox"/> Yes 是    <input type="checkbox"/> Attach a written consent from your employer. 請提供您僱主的書面同意書。         </td> </tr> </table> |   | Co. Name<br>公司名稱 |  | Ranking<br>職級  | Position<br>職銜 |               | <input type="checkbox"/> Top Management 管理層<br><input type="checkbox"/> Managerial 經理<br><input type="checkbox"/> Supervisory 主任<br><input type="checkbox"/> Staff 一般員工 | Is your employer registered with the Securities and Futures Commission (SFC) of Hong Kong?<br>您的僱主 / 公司是否香港證券及期貨事務監察委員會(證監會)註冊的公司? |  | Years of Employment<br>服務年資 |  |  | <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 <input type="checkbox"/> Attach a written consent from your employer. 請提供您僱主的書面同意書。 |
| Co. Name<br>公司名稱   |  | Ranking<br>職級   |                  |  |                |                |               |   |  |  |                             |  |  |  |
| Position<br>職銜   |  | <input type="checkbox"/> Top Management 管理層<br><input type="checkbox"/> Managerial 經理<br><input type="checkbox"/> Supervisory 主任<br><input type="checkbox"/> Staff 一般員工 |                  |  |                |                |               |   |  |  |                             |  |  |  |
| Is your employer registered with the Securities and Futures Commission (SFC) of Hong Kong?<br>您的僱主 / 公司是否香港證券及期貨事務監察委員會(證監會)註冊的公司? |  | Years of Employment<br>服務年資   |                  |  |                |                |               |   |  |  |                             |  |  |  |
|  |  | <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 <input type="checkbox"/> Attach a written consent from your employer. 請提供您僱主的書面同意書。                        |                  |  |                |                |               |   |  |  |                             |  |  |  |
| 5. <b>Office Address<sup>8</sup></b><br>公司地址<br><small>(P.O. Box not accepted)<br/>(郵箱號碼恕不接受)</small>                              | <div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <table border="1" style="width: 100%;"> <tr> <td style="width: 30%;">City<br/>城市</td> <td style="width: 30%;"></td> <td style="width: 30%;">Province<br/>省份</td> <td style="width: 30%;"></td> </tr> <tr> <td>Country<br/>國家</td> <td></td> <td>Postal Code<br/>郵政編號</td> <td></td> </tr> </table>   |   | City<br>城市       |  | Province<br>省份 |                | Country<br>國家 |   | Postal Code<br>郵政編號  |  |                             |  |  |  |
| City<br>城市   |  | Province<br>省份  |                  |  |                |                |               |   |  |  |                             |  |  |  |
| Country<br>國家  |  | Postal Code<br>郵政編號   |                  |  |                |                |               |   |  |  |                             |  |  |  |

**Note 注意:**

- 7 If you are a Key Person of any Corporate Account(s), same change(s) above will apply to respective profile(s). 倘若您同時為公司帳戶的主要人士，則上述資料會同時更新到相關紀錄。
- 8 In compliance with the securities dealing restrictions in the U.S., please note that clients changing any of their addresses in our record to U.S. will not continue to enjoy our U.S. securities trading services. 為符合美國證券交易條例，如您將帳戶記錄內的任何地址更改為美國地址，則將不能繼續使用我們提供的美股交易服務。

## Part III. Other Updates 其他更新

### A. Related Account(s) & Person(s) 關聯帳戶及人物

|  |   |                                       |                                  |
|--|---|---------------------------------------|----------------------------------|
| 1. <b>Are you a relative of any BOOM employee or Director?</b><br>您是否與 BOOM 之僱員 / 董事有任何關係?   | <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify. 是, 請列明。   |                                       |                                  |
|  | Surname<br>英文姓氏   | First & Middle Name<br>英文名稱           | Relationship<br>關係               |
| 2. <b>Does your spouse currently maintain any account with BOOM?</b><br>您的配偶目前是否持有 BOOM 帳戶?  | <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify. 是, 請列明。   |                                       |                                  |
|  | Surname (English)<br>英文姓氏   | First & Middle Name (English)<br>英文名稱 | BOOM Account Number<br>BOOM 帳戶號碼 |
|  | <small>(Use block letters 請以正楷填寫)</small>   |                                       |                                  |
| 3. <b>Are you a shareholder and/or beneficial owner of a company that maintains an account with BOOM?</b><br>您是否身為在 BOOM 持有帳戶的公司的個人股東及 / 或實益擁有人? | <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify. 是, 請列明。   |                                       |                                  |
|  | Company Name (English)<br>公司英文名稱  |                                       | BOOM Account Number<br>BOOM 帳戶號碼 |
|  | <small>(Use block letters 請以正楷填寫)</small>   |                                       |                                  |
|  | Do you control, either alone or with your spouse, 35% of more voting rights of this Company?<br>您是否持有 (無論是個人擁有或與配偶共同擁有) 該公司超過 35% 的投票權? |                                       |                                  |
|  | <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是  |                                       |                                  |

## Part III. Other Updates (cont'd) 其他更新 (續)

### B. Investment & Customer Profile 投資紀錄及客戶概況

The information of financial situation, investment experience, investment objectives and source of funds/wealth are collected for internal use only. Information provided will be kept confidential. This is to comply with the Code of Conduct of Securities and Futures Commission (SFC) in Hong Kong.  
有關財政狀況、投資經驗、投資目標及資金/財富來源的資料僅作內部參考之用。您提供的資料將絕對保密。此為了遵守香港證券及期貨事務監察委員會（證監會）所訂立的操守準則。

|  |  |
|--|--|
| 1. Investment Objective 投資目標   | <input type="checkbox"/> Income Generation - Low Risk / Return 賺取收入 - 低風險 / 低回報<br><input type="checkbox"/> Controlled Growth - Moderate Risk / Return 穩步增長 - 適度風險 / 適度回報<br><input type="checkbox"/> Speculative / Short-term - High Risk / Return 投機 / 短線投資 - 高風險 / 高回報<br><input type="checkbox"/> Combination of Moderate to High Return 適度至高回報組合  |
| 2. Investment Knowledge 投資知識   | <input type="checkbox"/> None 缺乏 <input type="checkbox"/> Fair 一般 <input type="checkbox"/> Good 良好 <input type="checkbox"/> Extensive 豐富   |
| 3. Investment Experience 投資經驗  | <input type="checkbox"/> None 缺乏 <input type="checkbox"/> Fair 一般 <input type="checkbox"/> Good 良好 <input type="checkbox"/> Extensive 豐富   |
| 4. Type of Investments You Have 您擁有的投資類別<br>(Please ✓ all applicable 可選擇多項)                      | <input type="checkbox"/> Equity 股票 <input type="checkbox"/> Equity Warrants 認股證<br><input type="checkbox"/> Equity Options 股票期權 <input type="checkbox"/> Foreign Exchange 外匯<br><input type="checkbox"/> Foreign Exchange Options 外匯期權 <input type="checkbox"/> Corporate Bonds 公司債券<br><input type="checkbox"/> Government Bonds 政府債券 <input type="checkbox"/> Mutual Funds 互惠基金<br><input type="checkbox"/> Index Options 指數期權 <input type="checkbox"/> Futures 期貨   |
| 5. Annual Income (HKD) 每年入息 (以港元為單位)   | <input type="checkbox"/> Below \$200,000 以下 <input type="checkbox"/> \$200,000 - \$399,999 <input type="checkbox"/> \$400,000 - \$789,999<br><input type="checkbox"/> \$790,000 - \$3,949,999 <input type="checkbox"/> \$3,950,000 or above 或以上  |
| 6. Liquid Net Worth (HKD) 流動資產淨值 (以港元為單位)  | <input type="checkbox"/> Below \$500,000 以下 <input type="checkbox"/> \$500,000 - \$999,999<br><input type="checkbox"/> \$1,000,000 - \$1,999,999 <input type="checkbox"/> \$2,000,000 - \$3,999,999<br><input type="checkbox"/> \$4,000,000 - \$7,999,999 <input type="checkbox"/> \$8,000,000 or above 或以上*<br><small>* If selected, BOOM may send you information regarding offers of investments exclusive for Professional Investors.<br/>如選擇此項，BOOM 會發給您一些僅供「專業投資者」享用的投資產品資料。</small>   |
| 7. Source of Funds / Wealth 資金 / 財富來源<br>(Please ✓ all applicable 可選擇多項)                         | <input type="checkbox"/> Salary / Income / Bonus 薪金 / 收入 / 花紅 <input type="checkbox"/> Investment Earnings / Income 投資收益 / 收入<br><input type="checkbox"/> Business Profits / Income 生意營利 / 收入 <input type="checkbox"/> Part-time / Freelance Income 兼職 / 自由工作<br><input type="checkbox"/> Sales of Property 出售物業 <input type="checkbox"/> Rental Income 租金收入<br><input type="checkbox"/> Savings / Interests 儲蓄 / 利息收入 <input type="checkbox"/> Retirement Funds / Pension 退休金<br><input type="checkbox"/> Family Allowance / Supports 家人財務資助 <input type="checkbox"/> Others, please specify<br><input type="checkbox"/> Inheritance / Gifts 遺產 / 禮物 其他，請列明 _____ |
| 8. Country(ies) of Sources of Funds / Wealth 資金 / 財富來源地  |  |
| 9. Purpose of Maintaining the BOOM Account 維持帳戶目的  |  |
| 10. Anticipated Level of Trading Activity in the BOOM account 估計將會在 BOOM 帳戶進行的交易頻率               | Number of Trades 交易次數 <input type="text"/> per annum 按年度<br>Volume of Transactions (HKD) 交易金額 (以港元為單位) <input type="text"/> per annum 按年度  |
| 11. Do you continue to be the sole beneficial owner of the BOOM account? 您是否依然為 BOOM 帳戶的唯一實益擁有人? | <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <sup>10</sup>   |

#### Note 注意：

9 "Beneficial Owner" doesn't mean the successor of your assets. It refers to the natural person(s) who stand(s) to gain the ultimate commercial or economic benefit of the transactions and/or to bear its / their commercial or economic risk.  
實益擁有人 (Beneficial Owner) 不是指您資產的權益繼承人，是指收取交易所帶來的商業或經濟利益及 / 或承擔其商業或經濟風險的人士。

10 If you are not the beneficial owner of this BOOM account, you will need to provide information on the identity of the "real" owner (i.e. the person who enjoys the ultimate benefits of operating the BOOM account) and the reason of you acting as a nominee for such person.

倘若您並不是此 BOOM 帳戶的實益擁有人，您便需要提供該名「真正」擁有人（即帳戶利益的最終實益持有人）的身份資料及您作為該名人士「代理人」的原因。

## Part IV. Disclosure 披露

### A. Politically Exposed Person ("PEP")<sup>11</sup> 政治聯繫人物

Are you and/or your family member(s) current or former PEP, or close associate of PEP?  
您或您的家庭成員是否現任或前任政治人物，或與政治人物關係密切？

No 否  Yes 是 If yes, please provide details below:  
如是，請提供以下詳情：

| Name of the PEP<br>政治人物名稱 | Place and position entrusted with<br>地方及所擔任的職銜 | Period of the position entrusted with<br>政治人物擔任該職銜的年期 | Any expected receipts of large sum of money from governmental bodies or state-owned entities 任何預期政府機構或國有機構給予的大筆資金收入？ | Relationship with you<br>與您之關係   |
|---------------------------|--|---|--|--|
|                           |  | From 由<br><br>To 至                                    | <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否   | <input type="checkbox"/> Self 本人<br><input type="checkbox"/> Spouse 配偶<br><input type="checkbox"/> Family member <sup>12</sup> , please specify:<br>家庭成員，請列明：<br>_____ |
|                           |  | From 由<br><br>To 至                                    | <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否   | <input type="checkbox"/> Self 本人<br><input type="checkbox"/> Spouse 配偶<br><input type="checkbox"/> Family member <sup>12</sup> , please specify:<br>家庭成員，請列明：<br>_____ |

Note 注意：

11 **Politically Exposed Person ("PEP")** means you are currently or was formerly entrusted with a prominent public function in any country/region. This includes currently serving as or was formerly:

- (1) head of state, head of government, senior civil or public servant (including head of any statutory board; and chairman or CEO of any government body), senior judicial or military official, senior executive of state-owned enterprises, member of the legislature, and senior political party official; or
- (2) a senior management of an "International Organization". This includes directors, deputy directors and members of the board or equivalent functions of entities established by formal political agreements between member countries that have the status of international treaties and whose existence are recognized by law in member countries. Examples of such entities include the United Nations, World Bank, and affiliated agencies such as the International Monetary Fund; regional international organizations such as the Asian Development Bank, institutions of the European Union, the Organization for Security and Cooperation in Europe; military international organizations; and economic organizations such as the World Trade Organization or the Asia-Pacific Economic Cooperation Secretariat.

**政治人物** (Politically Exposed Person 或 PEP) 是指您目前或以前於任何國家 / 地區擔任顯著的公共職能。這包括當前仍擔任或曾擔任：

- (1) 國家元首、政府首長、高級公務員（包括任何法定委員會主席；以及任何政府機構的主席或行政總裁）、高級司法或軍事官員、國有企業高管、立法機關成員、及重要政黨幹事；或
- (2) 「國際組織」的高級管理層，這包括具有國際條約地位和法律認可的成員國之間，且根據正式政治協定設立的機構的董事、副董事和董事會成員或同等職能。這些機構的例子包括聯合國、世界銀行和國際貨幣基金組織等附屬機構；亞洲開發銀行、歐洲聯盟機構、歐洲安全與合作組織等區域性國際組織；軍事國際組織；以及世界貿易組織或亞太經濟合作秘書處等經濟組織。

12 **"Family member"** includes a parent, child, spouse, sibling and parent-in-law.

「家庭成員」是指父母、子女、配偶、兄弟姐妹、岳父母。

13 **"Close associate"** means a person who is closely connected to a PEP, either socially or professionally. Examples include partners outside the family unit (e.g. girlfriends, boyfriends, mistresses); prominent members of the same political party, civil organization, labour union as the PEP; business partners or associates, especially those that share ownership of legal entities with the PEP, or who are otherwise connected (e.g. through joint membership of a company board). In the case of personal relationships, the social, economic and cultural context may also play a role in determining how close those relationships generally are.

「關係密切的人」是指與政治人物有密切聯繫的人，無論是在社交上還是在職業關係上。例子包括家庭以外的伴侶（如女朋友、男朋友、情婦）；與政治人物為同一政黨、民間組織、工會的重要成員；商業夥伴或關聯人，特別是那些與政治人物共同擁有法人實體的股權，或以其他方式關聯（例如公司董事會上的聯合成員）。就個人關係而言，社會、經濟和文化背景也可能影響關係的密切度。



## Part V. Account-Specific Information (if applicable#) 個別帳戶特定資料 (如適用#)

# Information provided in previous sections apply to ALL your BOOM accounts (and any BOOM accounts related to you, if any). 您在本表格較前部分所提供的資料，適用於 所有 您的 (或與您有關的，如有) BOOM 帳戶。

If you have different communication and investment preference for specific account, please specify below. Please make copy of this page if necessary.

如您希望就個別帳戶作出不同的通訊及投資偏好設定，請以下列明。如超過一個個別帳戶，請自行複印加頁。

|                                |   |  |   |
|--------------------------------|---|--|---|
| <b>Type of Account</b><br>帳戶類別 | <input type="checkbox"/> Securities Trading (Individual) /<br>證券交易帳戶 (個人) | <input type="checkbox"/> Securities Trading (Joint)<br>證券交易帳戶 (聯名) | BOOM Account No.<br>BOOM 帳戶號碼           |
|                                | <input type="checkbox"/> Futures Trading (Additional)<br>期貨交易帳戶 (附加)      |  | Futures Trading Account No.<br>期貨交易帳戶號碼 |

### A. New Contact Details 新聯絡資料 <sup>14</sup>

1. E-mail <sup>15 16</sup>  
電郵地址

Note 注意：

14 Please provide your personal mobile number / email address that is exclusively for your own use to ensure that your confidential account or transaction related information is delivered to you and accessed by you only. 請提供您個人專用的手提電話號碼 / 電郵地址，以確保有關您帳戶或交易的信息只能被您接收及開啟。

15 This is the registered email address to be used for all major account communications. 這為帳戶的登記電郵地址用作所有主要聯繫。

16 All Transaction Record and Notices for Joint Account will be sent to 1st Account Holder's address or email only. 所有有關聯名帳戶的交易紀錄及通訊，均只會發放到帳戶第一持有人的通訊地址或電郵地址。

### B. Update Investment & Customer Profile 更新投資紀錄及資金客戶概況

1. Investment Objective 投資目標

- Income Generation - Low Risk / Return 賺取收入 - 低風險 / 低回報  
 Controlled Growth - Moderate Risk / Return 穩步增長 - 適度風險 / 適度回報  
 Speculative / Short-term - High Risk / Return 投機 / 短線投資 - 高風險 / 高回報  
 Combination of Moderate to High Return 適度至高回報組合

2. Purpose of Maintaining the BOOM Account  
維持帳戶目的

3. Anticipated Level of Trading Activity in  
the BOOM account  
估計將會在 BOOM 帳戶進行的交易頻率

Number of Trades 交易次數  per annum 按年度  
Volume of Transactions (HKD) 交易金額 (以港元為單位)  per annum 按年度

4. Do you continue to be the sole beneficial owner of the BOOM account? <sup>17</sup>  
您是否依然為 BOOM 帳戶的唯一實益擁有人？

Yes 是  No 否 <sup>18</sup>

Note 注意：

17 "Beneficial Owner" doesn't mean the successor of your assets. It refers to the natural person(s) who stand(s) to gain the ultimate commercial or economic benefit of the transactions and/or to bear its / their commercial or economic risk. 實益擁有人 (Beneficial Owner) 不是指您資產的權益繼承人，是指收取交易所帶來的商業或經濟利益及 / 或承擔其商業或經濟風險的人士。

18 If you are not the beneficial owner of this BOOM account, you will need to provide information on the identity of the "real" owner (i.e. the person who enjoys the ultimate benefits of operating the BOOM account) and the reason of you acting as a nominee for such person. 倘若您並不是此 BOOM 帳戶的實益擁有人，您便需要提供該名 "真正" 擁有人 (即帳戶利益的最終實益持有人) 的身份資料及您作為該名人士 "代理人" 的原因。

If the relationship between you and the other holder of your Joint Account has changed, please specify below. Please make copy of this page if necessary.

如您與另一位共同持有聯名帳戶的持有人的關係改變，請以下列明。如超過一個帳戶，請自行複印加頁。

### C. Related Account(s) & Person(s) 關聯帳戶及人物

1. Securities Trading Account (Joint)  
證券交易帳戶 (聯名)

BOOM Account No.  
BOOM 帳戶號碼

Your relationship with the other Joint  
Account Holder  
您與另一位聯名帳戶持有人的關係

(Please ✓ one 請選擇一項)

- Spouse 配偶  
 Family Member, please specify:  
家庭成員，請列明： \_\_\_\_\_  
 Close associate, please specify:  
關係密切的人，請列明： \_\_\_\_\_

Account(s) Details and Effective Date of Change(s)  
帳戶資料及更新資料生效日期

Client's Full Name  
客戶全名

|  |                            |
|--|----------------------------|
|  | (Use block letters 請以正楷填寫) |
|--|----------------------------|

Date of Birth  
出生日期

|        |         |       |
|--------|---------|-------|
| Year 年 | Month 月 | Day 日 |
|--------|---------|-------|

Gender  
性別

Male 男  Female 女

Identification Document Details  
身份證明文件資料

|                |   |  |   |
|----------------|---|--|---|
| Type<br>證件種類   | <input type="checkbox"/> HKID<br>香港身份證    | <input type="checkbox"/> Chinese (PRC) Citizens ID<br>中國公民身份證    | <input type="checkbox"/> Macau Permanent Resident ID<br>澳門永久居民身份證 |
|                | <input type="checkbox"/> Passport<br>個人護照 | <input type="checkbox"/> Others, please specify:<br>其他，請列明：_____ |   |
| ID No.<br>證件號碼 | <input style="width: 100%;" type="text"/> |  |   |

Please write down all ID Number(s) recorded with BOOM, especially if you have multiple accounts registered with different personal Identification document, for which the changes in this form will apply.  
為了更新本表格所提供的帳戶資料，請列出所有紀錄在本公司的證件號碼，特別是如果您曾經以不同的身份證明文件開設多於一個帳戶。

E-mail  
電郵地址

|   |
|---|
| <input style="width: 100%;" type="text"/> |
|---|

Please write down all email address(es) you believe to have been recorded with BOOM. This is to help us identify your account(s) for which the changes in this form will apply.  
為了找出您的帳戶以便更新本表格所提供的資料，請列出所有可能紀錄在本公司的電郵地址。

Effective Date  
生效日期

|                           |  |  |   |         |       |
|---------------------------|--|--|---|---------|-------|
| (Please ✓ one)<br>(請選擇一項) | <input type="checkbox"/> Immediate Effective<br>即時生效 | <input type="checkbox"/> Effective from<br>由此日期起 | Year 年                                    | Month 月 | Day 日 |
|                           |  |  | <input style="width: 100%;" type="text"/> |         |       |

Client Declaration 客戶聲明

I hereby declare and agree that all the information given in this form is complete, true and accurate, and is up-to-date. I confirm that except for the above amendments, all my other information being kept with Monex Boom Securities (H.K.) Limited ("BOOM") remain unchanged. 本人謹此聲明並同意本表格所提供的資料均是完整、真實及準確，並且是到目前為止最新的。本人確認除了本表格所提供的資料外，所有有關本人而存放在寶盛證券（香港）有限公司（「BOOM」）的資料均維持不變。

I acknowledge and agree that any personal information collected from me may be used, transferred and retained in the manner and for purposes set out in the "Personal Data Privacy Supplement" attached to the Securities Client Agreement and the Futures Client Agreement (if applicable) between me and BOOM, as amended from time to time, or otherwise attached hereto (as applicable). 本人知悉並同意由本人收集的任何個人資料，可按照本人與 BOOM 簽訂的「證券客戶協議」及「期貨客戶協議」（如適用）內「個人資料私隱附件」現時有效及不時修改的條文或本表格隨附的其他聲明（如適用）所載的方式及為該聲明所載的目的而使用、轉交及保存或其他用途。

I further agree and authorize BOOM to update relevant information of **ALL** my BOOM accounts (and any BOOM accounts related to me, as applicable), with effective from the date stated above. I also undertake to notify BOOM immediately of any changes to the information provided, failing which BOOM is entitled to rely fully on the information and representations given. 本人同意並授權 BOOM 將相關資料更新至 **所有** 本人的（或與本人有關的，如適用）BOOM 帳戶，並於上述生效日期生效。同時，如所提供資料有任何更改，本人承諾立即通知 BOOM，否則 BOOM 有權完全依據本表格提供的資料和陳述。

Client's Signature<sup>19</sup> (For joint account holders, each individual will need to complete a copy of this form.)  
客戶簽署（如屬聯名帳戶，兩位帳戶持有人須各自分別填寫本表格。）

Printed Name  
正楷姓名

Date (YYYY/MM/DD)  
日期 (年/月/日)

Note 注意：

<sup>19</sup> Please note that signature should match the specimen signature in our record. 請注意上述簽署必須與我們紀錄內閣下的簽字樣本吻合。

For Official Use Only 只供本行使用

All applicable BOOM Account Numbers  
所有適用的 BOOM 帳戶號碼

Signature Verified by 核對簽署

Reviewed by 核對資料

System Setup by 設定系統

Date 日期

Date 日期

Date 日期