

ACCOUNT OPENING FORM 開戶申請表格

(Corporate Account 公司帳戶)

Return ORIGINAL Form

請交回此申請表正本

| | |
|--------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|
| Client Type 客戶類別 | <input type="checkbox"/> Corporate Account 公司帳戶 |
| Type of Account 帳戶類別 | <input type="checkbox"/> Securities Trading (Cash) / <input type="checkbox"/> Securities Trading (Margin) 證券交易帳戶 (現金) / 證券交易帳戶 (孖展融資) |
| | <input type="checkbox"/> Futures Trading (Additional) 期貨交易帳戶 (附加) |

| |
|-----------------------------------------|
| Apply Ref. 申請表編號 |
| BOOM Account No. BOOM 帳戶號碼 |
| Futures Trading Account No. 期貨交易帳戶號碼 |

Applicant's Information 申請公司資料

| | | |
|-------------------------------------------------|--------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Company Name 公司名稱 | English Name 英文名稱 (Use block letters 請以正楷填寫) | Chinese Name 中文名稱 (If applicable 如適用) |
| 2. Name of Account 帳戶名稱 | (Use block letters 請以正楷填寫) | 3. Place of Incorporation 註冊成立地 (Country 國家) |
| 4. Principal Place of Business 主要營運地點 | (Country 國家) | 5. Form of Incorporation 公司註冊屬性 (Please ✓ one 請選擇一項) |
| 6. Business Nature 業務性質 | | <input type="checkbox"/> Private Limited Company 私人有限公司 <input type="checkbox"/> Public Limited Company 公眾有限公司 <input type="checkbox"/> Partnership 合伙公司 <input type="checkbox"/> Trust 信托 <input type="checkbox"/> Others, please specify 其他, 請列明 |
| 7. CI / Company No 公司註冊編號 | | 8. Registered Office Address 公司註冊地址 City & Province 城市及省份 Country 國家 |
| 9. Year of Incorporation 成立年份 | (Year 年) | |
| 10. No. of Employees 職員人數 | | Postal Code 郵政編號 |

Corporate Structure 公司結構

11. Share Capital 股本資料

| | | | |
|-------------------------|-------------------------------------------------------------------------------------|---------------------------------|----------------------------------------------|
| Issued Capital 已發行股本 | <input type="checkbox"/> Fully Paid 已繳足 <input type="checkbox"/> Partly Paid 未繳足 | No. of Issued Shares 已發行股份數量 | Shares 股 |
| Capital Amount 股本款額 | Currency 貨幣 | Paid-up 已繳股本 \$ | + Unpaid 未繳股本 \$ = Total Amount 總款額 \$ |

12. Do you have any subsidiary companies, which you held 50% or more of their voting rights? 申請公司有沒有擁有超過 50% 投票權的子公司?

No 否 Yes, please specify. 是, 請列明。 Attach a list of all subsidiaries (if there're more than one) 附上所有子公司列表 (如超過一間子公司)。

| | | |
|-------------------------------------|---------------------------|-------------------------------------------------------|
| Name of Subsidiary Company 子公司名稱 | CI / Company No 公司註冊編號 | Place of Incorporation 註冊成立的地方 (Country 國家) |
|-------------------------------------|---------------------------|-------------------------------------------------------|

Contact Details 聯絡資料

| | | | | |
|-------------------------------------------------------|---------------------------------------|--------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------|--|
| 13. Name of Contact Person 聯絡人姓名 | Surname (English) 英文姓氏 | | First & Middle Name (English) 英文名稱 | |
| | (Use block letters 請以正楷填寫) | | | |
| 14. Telephone No. 電話號碼 | + | | - | |
| | 15. Fax No. 傳真號碼 | | | |
| 16. Email 電郵地址 | | | | |
| (Use for all major account communications 用作帳戶所有主要聯繫) | | | | |
| 17. Correspondence Address 通訊地址 | (P.O. Box not accepted) (郵箱號碼恕不接受) | | <input type="checkbox"/> Attach proof of address (a copy of bank account statement showing co. name and address) 附上地址證明 (載有申請公司名稱及地址的銀行月結單副本) | |
| | | | | |
| | | City & Province 城市及省份 | | |
| | | Country 國家 | Postal Code 郵政編號 | |

Delivery of Account Statements 遞送帳戶結單

| | | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 18. Preferred Communication Language 主要通訊語言 | <input type="checkbox"/> English 英文 | <input type="checkbox"/> Chinese 中文 |
| 19. Delivery of Transaction Records ¹ 交易紀錄的傳送 ¹ <small>Send to the Registered Email (See Part 16) or Correspondence Address (See Part 17) 發送到 登記電郵地址 (見第 16 項) 或 通訊地址 (見第 17 項)</small> | Daily Activity Statements ² 日結單 ² | Monthly Activity Statements ² 月結單 ² |
| | <input type="checkbox"/> Send by email 以電郵傳送 <input type="checkbox"/> Send by post 以郵遞傳送 | <input type="checkbox"/> Send by email 以電郵傳送 <input type="checkbox"/> Send by post ³ 以郵遞傳送 ³ <small>(Handling Fee HKD 10) (行政費港幣 10 元)</small> |
| Remarks to Part 19: 第 19 項註釋: | 1. Account Notifications (include trade confirmations and corporate action notices) are sent to you by email only. 帳戶通知 (包括交易確認及公司行動的通知) 將僅以電郵方式發送予閣下。 2. Daily Activity Statements also serves as contract notes. Daily and Monthly Activity Statements are also accessible online. 日結單亦等同成交單據。閣下可隨時經網上查詢日結單及月結單。 3. If your email is undeliverable, BOOM will send statements to you by post. A handling fee of HKD 10 will be charged to your BOOM account for each Monthly Activity Statement mailed to you. 如電子郵件無法傳送到閣下的電郵帳戶, BOOM 會改以郵寄帳戶結單給閣下。郵寄月結單列印版本的行政費為每份港幣 10 元, 費用會從閣下的 BOOM 帳戶收取。 | |

Guarantor 擔保人 (For Corporate Margin Account Application Only) (只適用於申請公司孖展 (融資) 帳戶)

| | | | | |
|----------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|-----------------------------------------------------------------|--------------------|--|
| 20. Guarantor's Information 擔保人資料 | Title 稱謂 | | Telephone No. 電話號碼 | |
| | <input type="checkbox"/> Mr. 先生 | <input type="checkbox"/> Ms. 小姐 | + | |
| | <input type="checkbox"/> Mrs. 太太 | <input type="checkbox"/> Dr. 博士 | - | |
| | Surname 英文姓氏 | First & Middle Name 英文名稱 | | |
| | (Use block letters 請以正楷填寫) | | | |
| For Securities Margin Account or Futures Trading Account Application, please attach the following: 如申請證券孖展 (融資) 帳戶或期貨交易帳戶, 請附上以下文件: | | | | |
| <input type="checkbox"/> Completed "Guarantor Information" 已填寫的「擔保人資料」表格 | | <input type="checkbox"/> Signed "Guarantor Agreement" 已簽署的「擔保書」 | | |
| <input type="checkbox"/> Certified Copy of Guarantor's Official ID 擔保人身份證明文件經核證之真實副本 | | <input type="checkbox"/> Guarantor's Address Proof 擔保人的地址證明 | | |

Key Person(s) 主要人士

| | | | | | |
|---------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|---------|--|----------------|
| 21. Total No. of Key Person(s) 主要人士總人數 | Key Person(s) include all Individual Director(s), Individual Shareholder(s), Beneficial Owner(s) and Authorized Person(s). 主要人士包括 所有 個人董事、個人股東、實益擁有人及 獲授權人。 | Total No. of Key Person(s) 主要人士總人數 | Total 共 | | Person(s) 位 |
| 22. Particulars of Key Person(s) 主要人士的資料 | Please fill-in information of EACH of the Key Person(s) at "Section A: Particulars of Key Person(s)". Please make extra copies of Section A if necessary. 請於「甲部：主要人士資料」填寫 每位 主要人士的資料。如超過一位主要人士, 請自行複印加頁。 | Attach "Section A: Particulars of Key Person(s)" 附上「甲部：主要人士資料」 | Total 共 | | Set(s) 份 |

Ultimate Beneficiary Declaration 有關最終實益擁有人的聲明

(This section is NOT applicable to listed company, regulated financial institution, government/public body, regulated investment vehicle.
(不適用於上市公司、受監管金融機構、政府或公共機關、受監管投資工具。))

23. Are all the shares of the Applicant held by Individual Shareholder(s)? 申請公司的股份是否全數由個人股東持有？

Yes 是 No, please specify. 否，請列明。

Name of Ultimate Holding Company
最終控股公司名稱

Place of Incorporation
註冊成立的地方

(Country 國家)

Attach Organization Chart showing the Applicant's shareholding (ownership) structure.
附上「組織架構圖」以顯示申請公司的股份（擁有權）結構。

24. Individual Shareholder(s) and Beneficial Owner(s) 個人股東及實益擁有人

Individual Shareholder(s) of the Applicant and the Ultimate Holding Company 持有申請公司或最終控股公司股份的個人股東

% of Shares Held
持有股份的百分比

Beneficial Owner(s) who enjoy the ultimate benefits through the Nominee(s) 經代理人持有帳戶利益的最終實益擁有人

| Name of Ind. Shareholder 個人股東姓名 | Section A: Particulars of Key Person(s) 「甲部：主要人士資料」 | Total 總數 | Directly Held as Beneficiary 直接持有帳戶實益 | Held Shares as Nominee # 以代理人身份#持有 | on half of 代表 | Name of Beneficial Owner(s) 實益擁有人姓名 | Section A: Particulars of Key Person(s) 「甲部：主要人士資料」 |
|------------------------------------|--------------------------------------------------------|-------------|------------------------------------------|---------------------------------------|------------------|----------------------------------------|--------------------------------------------------------|
| | Page No. 第 頁 | % = | % | + | % | | Page No. 第 頁 |
| | Page No. 第 頁 | % = | % | + | % | | Page No. 第 頁 |
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Total 共 Person 人

100 %

Total 共 Person 人

Important: "Beneficial Owner" refers to the natural person(s) who stand(s) to gain the commercial or economic benefit of the transactions and/or to bear its / their commercial or economic risk.

重要資訊：實益擁有人（Beneficial Owner）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。

If an Individual Shareholder is only acting as a nominee of the Ultimate Beneficial Owner(s), please provide information of such person.
倘若個人股東只屬「代理人」（nominee）而不是此 BOOM 帳戶的實益擁有人，請提供實益擁有人的個人資料。

Designated Bank Account(s) 指定銀行帳戶

(Information provided below is to register the Applicant's bank account(s) for giving funds withdrawal instructions online or by phone.)
(以下資料用作登記申請公司的銀行帳戶，以便閣下可透過網上或電話方式給予資金提取的指令。)

Bank account(s) must be held by the BOOM account holder (See Part 1). Transfer to third party bank account is not allowed and will not be handled.
銀行帳戶必須由帳戶持有人持有(見第1項)。我們不接受亦不會處理將資金過戶至第三者銀行帳戶的要求。

| | Designated Bank Account #1 指定銀行帳戶 #1 | Designated Bank Account #2 指定銀行帳戶 #2 |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 25. Name of Bank Account Holder 帳戶持有人名稱 | <div style="border: 1px solid black; height: 40px;"></div> | <div style="border: 1px solid black; height: 40px;"></div> |
| 26. IBAN / Bank Account Number IBAN / 銀行帳戶號碼 | <div style="border: 1px solid black; height: 40px;"></div> | <div style="border: 1px solid black; height: 40px;"></div> |
| 27. Currency (Please ✓ one) 貨幣 (請選擇一項) <small>Note: RMB transfer will be rejected by your bank if your bank account is not RMB-denominated. Bank charges incurred is not refundable. 注意: 如您持有銀行帳戶並不是人民幣結餘帳戶, 銀行將會拒絕將人民幣存入。而因此收取的銀行手續費將不會獲得退還。</small> | <input type="checkbox"/> Single-currency (Please specify <input style="width: 50px;" type="text"/>) 單一貨幣 (請註明 <input style="width: 50px;" type="text"/>) <input type="checkbox"/> Multi-currency (<input type="checkbox"/> incl. RMB 包括人民幣) 多種貨幣 (<input type="checkbox"/> incl. RMB 包括人民幣) | <input type="checkbox"/> Single-currency (Please specify <input style="width: 50px;" type="text"/>) 單一貨幣 (請註明 <input style="width: 50px;" type="text"/>) <input type="checkbox"/> Multi-currency (<input type="checkbox"/> incl. RMB 包括人民幣) 多種貨幣 (<input type="checkbox"/> incl. RMB 包括人民幣) |
| 28. Bank Name 銀行名稱 | <div style="border: 1px solid black; height: 40px;"></div> | <div style="border: 1px solid black; height: 40px;"></div> |
| 29. Swift Code / Routing Number Swift 號碼 / 匯款路徑號碼 | <div style="border: 1px solid black; height: 40px;"></div> <small>(If applicable 如適用)</small> | <div style="border: 1px solid black; height: 40px;"></div> <small>(If applicable 如適用)</small> |
| 30. Bank Address (in full) 銀行地址 (全寫) | <div style="border: 1px solid black; height: 40px;"></div> | <div style="border: 1px solid black; height: 40px;"></div> |
| <input type="checkbox"/> Attach Form W-9 (if the bank account(s) are set up in U.S.) 提供表格 W-9 (如銀行帳戶設於美國) | <div style="border: 1px solid black; height: 40px;"></div> <small>(Country 國家)</small> | <div style="border: 1px solid black; height: 40px;"></div> <small>(Country 國家)</small> |

Where Did You Hear About BOOM 認識 BOOM 的途徑

31. Where did you hear about BOOM? (Please ✓ all applicable)
您從哪些途徑認識 BOOM? (可選擇多項)

Coupon Code (if any)
推廣碼 (如有)

| | |
|--------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> TV 電視 | <input type="checkbox"/> TVB Jade 無線翡翠台 <input type="checkbox"/> TVB Finance 無線財經台 <input type="checkbox"/> TVB News 無線新聞台 <input type="checkbox"/> Now TV <input type="checkbox"/> ViuTV <input type="checkbox"/> MyTV Super <input type="checkbox"/> NowTV APP <input type="checkbox"/> Others, please specify 其他, 請註明 _____ |
| <input type="checkbox"/> Radio 電台 | <input type="checkbox"/> Fairchild Radio 加拿大中文電台 1430 <input type="checkbox"/> Others, please specify 其他, 請註明 _____ |
| <input type="checkbox"/> Social Media 社交媒體 | <input type="checkbox"/> Facebook <input type="checkbox"/> WeChat 微信 <input type="checkbox"/> YouTube <input type="checkbox"/> Others, please specify 其他, 請註明 _____ |
| <input type="checkbox"/> Online Media 網絡媒體及網站 | <input type="checkbox"/> Economic Times 經濟日報 <input type="checkbox"/> Oriental Daily 東方日報 <input type="checkbox"/> Economic Journal 信報 <input type="checkbox"/> iMoney 智富雜誌 <input type="checkbox"/> Others, please specify 其他, 請註明 _____ |
| <input type="checkbox"/> Internet 互聯網 | <input type="checkbox"/> ET Net 經濟通 <input type="checkbox"/> AAStocks <input type="checkbox"/> Google Search 搜尋 <input type="checkbox"/> Banner Ad 網上廣告 <input type="checkbox"/> Tasty Money (Leung Sam Yan) 小炒王國 (梁心欣) <input type="checkbox"/> Others, please specify 其他, 請註明 _____ |
| <input type="checkbox"/> Others 其他途徑 | <input type="checkbox"/> Webinar 網上投資講座 <input type="checkbox"/> Recycle Bag 環保袋 <input type="checkbox"/> MTR AD 港鐵廣告 <input type="checkbox"/> Outdoor ad. 戶外推廣廣告 <input type="checkbox"/> Others, please specify 其他, 請註明 _____ |
| <input type="checkbox"/> Referrer 推薦人 | <input type="checkbox"/> Referred by friends 親友推薦 <input type="checkbox"/> Referred by BOOM member. Member's name BOOM 會員推薦: 會員姓名 _____ <input type="checkbox"/> Others, please specify 其他, 請註明 _____ |

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 reference only. 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參考之用。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。)

32. Investment Objective 投資目標

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

33. Investment Knowledge 投資知識

- None 缺乏 Fair 一般 Good 良好 Extensive 豐富

34. Investment Experience 投資經驗

- None 缺乏 Fair 一般 Good 良好 Extensive 豐富

35. Type of Investments You Have 閣下擁有的投資類別 (Please ✓ all applicable 可選擇多項)

- | | | | |
|---------------------------------------------------|------|-------------------------------------------|------|
| <input type="checkbox"/> Equity | 股票 | <input type="checkbox"/> Equity Warrants | 認股證 |
| <input type="checkbox"/> Equity Options | 股票期權 | <input type="checkbox"/> Foreign Exchange | 外匯 |
| <input type="checkbox"/> Foreign Exchange Options | 外匯期權 | <input type="checkbox"/> Corporate Bonds | 公司債券 |
| <input type="checkbox"/> Government Bonds | 政府債券 | <input type="checkbox"/> Mutual Funds | 互惠基金 |
| <input type="checkbox"/> Index Options | 指數期權 | <input type="checkbox"/> Futures | 期貨 |

36. Annual Income (HKD) 每年入息 (以港元為單位)

- | | | | |
|-----------------------------------------------|--------|------------------------------------------------|---------|
| <input type="checkbox"/> Below \$5 mil | 五百萬以下 | <input type="checkbox"/> \$5 mil - \$20 mil | 五百萬至二千萬 |
| <input type="checkbox"/> \$20 mil - \$100 mil | 二千萬至一億 | <input type="checkbox"/> \$100 mil - \$300 mil | 一億至三億 |
| <input type="checkbox"/> \$300 mil or above | 三億或以上 | | |

37. Liquid Net Worth (HKD) 流動資產淨值 (以港元為單位)

- | | | | |
|-------------------------------------------------|----------|--------------------------------------------------|-----------|
| <input type="checkbox"/> Below \$8 mil | 八百萬以下 | <input type="checkbox"/> \$8 mil - \$20 mil * | 八百萬至二千萬 * |
| <input type="checkbox"/> \$20 mil - \$100 mil * | 二千萬至一億 * | <input type="checkbox"/> \$100 mil - \$300 mil * | 一億至三億 * |
| <input type="checkbox"/> \$300 mil or above * | 三億或以上 * | | |

* If selected, BOOM may send you information regarding offers of investments exclusive for Professional Investors. 如選擇此項，BOOM 會發給閣下一些僅供「專業投資者」享用的投資產品資料。

38. Source of Funds / Wealth ¹ 資金 / 財富來源 ¹ (Supporting Info might be requested) (可能需要提供附加資料)

39. Country of Sources of Funds / Wealth 資金 / 財富來源地

40. Purpose of Opening a BOOM Account 開設 BOOM 帳戶的目的

41. 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 style="width: 60px; height: 25px;" type="text"/> | per annum 按年度 | Volume of Transactions (HKD) 交易金額 (以港元為單位) | <input style="width: 60px; height: 25px;" type="text"/> | per annum 按年度 |
|--------------------------|---------------------------------------------------------|---------------------|-----------------------------------------------|---------------------------------------------------------|---------------------|

Remarks to Part 38: 1. We might request you to provide supplementary information to explain / support the source of funds / wealth you have indicated. 我們可能要求閣下提供附加資料用以解釋閣下的資金 / 財富來源。
第 38 項註釋：

Declaration by Staff 職員聲明 (A Licensed or Registered Person) (已登記及註冊人士)

For Securities Trading Account Application 證券交易帳戶的申請

I, the undersigned, confirm that the **Risk Disclosures** as set out in Clause 25 and Clause 10 of Schedule 4 of the **Securities Client Agreement** have been provided to the client in a language of one's choice (English and Chinese), and the client was invited to read and ask questions and to take independent advice, if the client so wishes.

本人，下述簽署註冊人士，確認已將申請人所選擇語言之文本（英文或中文）的「證券客戶協議」內第 25 條及附件四第 10 段所列的「風險披露」提供予申請人。並建議申請人閱讀上述「風險披露」，提出問題及在有需要時，徵求獨立意見。

For Futures Trading Account Application 申請期貨交易帳戶 (If Applicable 如適用)

I, the undersigned, confirm that the **Risk Disclosures** as set out in Clause 26 of the **Futures Client Agreement** have been provided to the client in a language of one's choice (English and Chinese), and the client was invited to read and ask questions and to take independent advice, if the client so wishes.

本人，下述簽署註冊人士，確認已將申請人所選擇語言之文本（英文或中文）的「期貨客戶協議」內第 26 條所列的「風險披露」提供予申請人。並建議申請人閱讀上述「風險披露」，提出問題及在有需要時，徵求獨立意見。

Name of Staff 職員姓名

(Use block letters 請以正楷填寫)

Signature of Staff 職員簽署

CE No. CE 編號

(Use block letters 請以正楷填寫)

Date 日期

(YYYY/MM/DD 年/月/日)

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

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

For Securities Trading Account Application 申請證券交易帳戶

The Risk Disclosures as set out in the following Clause(s) of the Boom Securities (HK) Limited: **Securities Client Agreement (Oct 2024 Edition)** ("the Securities Client Agreement") were provided to us in a language of our choice (English or Chinese) and we were invited to read, to ask questions and take independent advice if we so wish:

- Clause 25 of the Securities Client Agreement; and
- Clause 10 of Schedule 4: China Connect Service Supplement.

有關寶盛證券(香港)有限公司: **證券客戶協議(二零二四年十月版)**(「證券客戶協議」)內下列條款所列的「風險披露」,本公司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:

- 「證券客戶協議」內第 25 條;及
- 「附件四:中華通服務附件」內第 10 段。

For Futures Trading Account Application 申請期貨交易帳戶 (If Applicable 如適用)

The Risk Disclosures as set out in the following Clause(s) of the Boom Securities (HK) Limited: **Futures Client Agreement (Oct 2024 Edition)** ("the Futures Client Agreement") were provided to us in a language of our choice (English or Chinese) and we were invited to read, to ask questions and take independent advice if 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(二零二四年十月版)**(「期貨客戶協議」)內下列條款所列的「風險披露」,本公司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。

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

- We, the undersigned, declare and represent that we have examined the information as provided by us on this form are true, correct and complete and that the representations made by us are accurate. BOOM is warranted to rely fully on such information and representations for all purposes, unless BOOM receives notice in writing of any change.

本公司同意本申請表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。

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

- We agree and consent 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. We understand that, 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.

本公司同意,本申請表內所披露之個人資料,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。本公司明白,本公司只須致函 BOOM,即可隨時免費選擇不收取 BOOM 以後任何的宣傳郵件。

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

For Securities Trading Account Application 申請證券交易帳戶

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

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

For Futures Trading Account Application 申請期貨交易帳戶 (If Applicable 如適用)

We, the undersigned, have read and fully understood the attached provisions of the **Futures Client Agreement**, which have been provided to 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.

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

Corporate Applicant (Corporate Account) 申請公司(公司帳戶)

Co. Name
公司名稱

Director's Signature(s) & Company Chop 董事簽署及公司印章

Date 日期(YYYY/MM/DD 年/月/日)

46. Witness' Signature 見證人的簽署

(* Please delete as appropriate.)
(* 刪去不適用者)

I am a* BOOM employee / Justice of Peace / branch manager of a licensed bank / lawyer / certified public accountant (practicing) / chartered secretary / notary public / SFC licensed or registered person accredited to the intermediary named below. I hereby certify that on the date above written in Part 45, this account application (including Director's Signature(s) above and the Specimen Signature(s) at "Section A: List of Key Person(s)") was signed by the Director(s) and Authorized Person(s) (if applicable) (who each of them had been previously identified by production of the original of his / her Identity Card or Passport to me) before me and the Company Chop of the Applicant was affixed to this account application in my presence.

本人乃* BOOM 僱員 / 太平紳士 / 持牌銀行分行經理 / 律師 / 執業會計師 / 執業特許秘書 / 公證人 / 隸屬以下所指名之中介團體之證監會持牌或註冊人士。本人現證實:於以上在第 45 項所寫的日期當日,本開戶申請表(包括由董事簽訂上述一欄及由獲授權人簽署「甲部:主要人士列表」中的簽名樣式)乃由董事及獲授權人(如適用)(當中每位人士的身份已根據其向本人出示之身份證或護照正本作核實)於本人面前簽訂,以及在本人面前將申請人之公司印章蓋於本開戶申請表上。

Name of Witness 見證人姓名

Title of Witness 見證人銜頭

Witness' Signature
見證人簽署

Date (YYYY/MM/DD)
日期(年/月/日)

CE No. of Witness (if applicable)
見證人之中央編號(如適用)

Name and CE No. of the intermediary to which the Witness is accredited (if applicable)
見證人所隸屬之中介團體名稱及中央編號(如適用)

Section A: Particulars of Key Person(s)

甲部：主要人士資料

(EACH Key Person(s) shall complete a copy. Please make copy of this form if necessary.)
(每位主要人士各須填寫一頁。如有超過一位主要人士，請自行複印加頁。)

Set No.
第

份

1. Key Person Type 主要人士類別

(Please ✓ all applicable 可選擇多項)

1. Director 董事 2. Ind. Shareholder 個人股東
 3. Beneficial Owner 實益擁有人 4. Authorized Person 獲授權人

Basic Information 基本資料

2. Name 姓名

Mr. 先生 Ms. 小姐 Mrs. 太太 Dr. 博士

English Name 英文姓名

Chinese Name 中文姓名

(Use block letters 請以正楷填寫)

3. Gender 性別 Male 男 Female 女

4. Position 職銜

Citizenship & Identity 國籍及個人身份

5. Citizenship 國籍 (Country 國家)

6. Date of Birth 出生日期 Year 年 Month 月 Day 日

7. Place of Birth 出生地 (Country 國家)

8. Official ID 身份證明文件 * If you don't have any of the Official ID Type listed below, please check with BOOM for other types of acceptable photo ID. 假如閣下沒有以上證件，請聯絡 BOOM 查詢其他可接受的身份證明文件種類。

Type 種類 (Please ✓ one) (請選擇一項)

HKID 香港身份證 Chinese Citizens ID 中國公民身份證 Passport 個人護照 Macau PR ID 澳門永久居民身份證 Others*, please specify 其他*，請列明

ID No. 證件號碼

Attach official ID copy 附上身份證明文件副本

Issue Country 證件簽發地

9. Residential Address 現居地址 (P.O. Box not accepted) (郵箱號碼恕不接受)

Address 地址

Country 國家 Postal Code 郵政編號

Attach proof of residential address 附上住址證明副本

10. Are you an employee of a company registered with the Securities and Futures Commission (SFC) of Hong Kong? 閣下是否香港證券及期貨事務監察委員會(證監會)註冊之公司之僱員?

No 否 Yes 是 Attach a written consent from your employer. 請提供閣下僱主的書面向意書。

11. Are you a relative of any BOOM employee or Director? 閣下是否與 BOOM 之僱員/董事有任何關係?

No 否 Yes, please specify. 是，請列明。 Name 姓名

Relationship 關係

Contact Details 聯絡資料

12. Home Tel. 住宅電話 + -

13. Office Tel. 公司電話 + -

14. Mobile Tel. 手提電話 + -

15. Email 電郵地址

Part 16 to Part 17 below are ONLY applicable to Ind. Shareholder(s) and Beneficial Owner(s)

以下第 16 至 17 項只適用於個人股東及實益擁有人

Applicable 適用
 Not Applicable 不適用

16. Does your spouse maintain any account with BOOM? 閣下的配偶是否持有 BOOM 帳戶?

No 否 Yes, please specify. 是，請列明。 Name 姓名

BOOM Account Number BOOM 帳戶號碼

17. Are you the spouse of another Ind. Shareholder or Beneficial Owner of this Account? 閣下是否與另一位個人股東/實益擁有人為配偶關係?

No 否 Yes, please specify. 是，請列明。 Name 姓名

Part 18 to Part 22 below are ONLY applicable to Authorized Person(s)

以下第 18 至 22 項只適用於獲授權人

Applicable 適用
 Not Applicable 不適用

The person below (an "Authorized Person"), as appointed in the Board Resolutions, is authorized to give instruction, to operate and/or to trade on behalf of the Corporate Account. 按董事局決議記錄，以下人士(「獲授權人」)，獲授權代表本公司發出指示、操作帳戶及/或進行交易。

18. Authorized Role(s) 獲授權範圍 (a) Place Orders 證券買賣 and 及 / or 或 (b) Authorized Signer 簽署與帳戶操作相關的指示

19. Contact Priority 聯絡人次序 Rank 第 位

20. Specimen Signature 簽名樣式

21. Witness's Initial 見證人簡簽

Identity and Tax Residence Declaration 個人身份及稅務居民身分聲明

22. U.S. citizen, a green card holder or residing in U.S.?
是否美國公民、綠卡持有人或在美國居留?

No 否 Yes* 是*

* Please provide your Taxpayer Identification Number (TIN)

請提供您的納稅人識別號碼：

| | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|
| | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|

23. What is the country of your tax residency¹ and Taxpayer Identification Number(s)²?
閣下的稅務居民所屬地及納稅人識別號碼 (TIN) 是什麼?

| | | | | | |
|-------------------------------------------------------------------------------------------------------|-------------------------------------------|---------------------------------------------------------------|--|----------------------------------------------------------------------------------------------------------------------------|--|
| <input type="checkbox"/> Below is/are my tax resident(s) and TIN(s). 以下 是我的稅務居民所屬地及納稅人識別號碼。 | | <input type="checkbox"/> Not applicable. 不適用。 | | The country of my tax residency is <u>not currently participating</u> in the CRS ³ . 我的稅務居民所屬地 未有參加「共同匯報標準」。 | |
| Country of Tax Residence 稅務居民所屬地 | TIN 納稅人識別號碼 | If a TIN is not available, please explain. 倘若未能提供 TIN, 請提供理由。 | | | |
| (1) <input style="width: 100%;" type="text"/> (Country 國家) | <input style="width: 100%;" type="text"/> | <input style="width: 100%;" type="text"/> | | | |
| (2) <input style="width: 100%;" type="text"/> (Country 國家) | <input style="width: 100%;" type="text"/> | <input style="width: 100%;" type="text"/> | | | |
| (3) <input style="width: 100%;" type="text"/> (Country 國家) | <input style="width: 100%;" type="text"/> | <input style="width: 100%;" type="text"/> | | | |
| <input type="checkbox"/> Attach Form W-9 (applicable to U.S. taxpayer) 提供表格 W-9 (適用於美國納稅人) | | | | | |

Note 注意：

Important Terminologies to the section "Identity and Tax Residence Declaration"
 有關「個人身份及稅務居民身分聲明」一欄的重要用語

- 1 Tax Residence**
 「稅務居民身分」
 Under the CRS, we are required to determine where you are 'tax resident' (this will usually be where you are liable to pay income taxes). If your tax residence is outside Hong Kong (where your BOOM account is held), we may need to give the respective tax authorities the information in this information, along with information relating to your accounts.
 根據共同匯報標準，我們須要確定閣下的納稅居住地（這通常是閣下須要繳納利息稅的地方）。若閣下的稅務居民身分地在香港（持有 BOOM 帳戶的地方）以外，我們可能須要向相關稅務機關提供本表格的信息以及與閣下賬戶相關的信息。
- 2 Taxpayer Identification Number ("TIN")**
 「納稅人識別號碼」
 It is a unique number assigned by a government to an individual or an Entity and used to identify them for tax purposes. Some governments do not issue a TIN but might use some other number such as a social security/insurance number, citizen/personal identification/service code/number, or resident registration number.
 它是由政府分配給個人或機構的編號，用於識別其稅務身份。一些政府或不會發出稅務編號，但可能會使用其他身份證號碼代替，例如社會保障 / 保險編號，公民 / 個人身份號碼或居民登記號碼。
- 3 Common Reporting Standard ("the CRS")**
 「共同匯報標準」
 It is a set of rules developed by the Organisation for Economic Co-operation and Development (OECD). It calls on governments participating in CRS to obtain information from their financial institutions and automatically exchange that information with other jurisdictions on an annual basis.
 這是由經濟合作暨發展組織 (OECD) 制定的一套規定。它呼籲參與 CRS 的政府從其金融機構獲取信息，並每年自動與其他司法管轄區交換該信息。
 Under the Common Reporting Standard ("the CRS"), tax authorities require financial institutions such as BOOM to collect and report certain information relating to their customers' tax statuses. 根據「共同匯報標準」（簡稱「CRS」）規定，稅務機關要求包括 BOOM 在內的財務機構，向其客戶收集及匯報若干與客戶納稅狀況相關的資料。
 If you have any questions regarding your tax residency and the acceptable Taxpayer Identification Number (TIN) formats, please refer to the rules that have been published by each tax authority on the following webpages. 倘若閣下不清楚稅務居民所屬地的定義，或不清楚閣下的所屬地對納稅人識別號碼的要求，請參照以下網址查看各個稅務機關所頒布的標準。
 Tax Residency Rules 稅務居民所屬地規定：<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>
 Tax Identification Numbers 納稅人識別號碼 (TINs)：<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

Tax Residence (FATCA and CRS) Declaration
稅務居民身分 (FATCA 及 CRS) 聲明

I declare that all the information provided in this form is, to the best of my knowledge and belief, accurate and complete. 本人聲明盡本人所知及所信，本表格所提供的資料均為準確及完整。

I acknowledge and understand that the information contained in this form and any reportable account(s) under the section "Identity and Tax Residence Declaration" may be reported to the tax authorities of the country in which this account is maintained and exchanged with tax authorities of another country/jurisdiction in which I may be a tax resident pursuant to intergovernmental agreements to exchange financial account information. 本人確認及明白本表格所載的資料及任何在「個人身份及稅務居民身分聲明」一欄下所申報帳戶的資料，可能會根據關於與帳戶所在國家交換財務帳戶資訊之政府間協議申報予本人所在國家 / 司法管轄區的稅務機關，並與另一個國家 / 司法管轄區或若干國家司法管轄區稅務機關交換。

I agree that any personal information collected from me under this form 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 the account holder(s) and Boom Securities (H.K.) Limited ("BOOM"), as amended from time to time, or otherwise attached hereto (as applicable). 本人同意本表格所載由本人收集的任何個人資料，可按照帳戶持有人與寶盛證券（香港）有限公司（「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 undertake to advise BOOM and provide an updated self-certification form within 30 days of the occurrence of any change in circumstance which causes any of the information contained under the section "Identity and Tax Residence Declaration" to be incorrect or incomplete. 本人承諾在任何可導致「個人身份及稅務居民身分聲明」一欄下所載資料失實或不完整的情況變動發生後 30 日內通知 BOOM，以及提供最新的自行證明書。

Key Person's Signature
主要人士簽署

Printed Name
正楷姓名

Date (YYYY/MM/DD)
日期 (年/月/日)

Politically Exposed Person ("PEP")⁴ 政治聯繫人物

**24. 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的人？**

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

| Name of the PEP 政治人物名稱 | Place and position entrusted with 地方及所擔任的職銜 | Period of the position entrusted with 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？ | PEP Relationship with you 與閣下之關係 |
|---------------------------|---------------------------------------------------|----------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | From 由 To 至 | <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 | <input type="checkbox"/> Self 本人 <input type="checkbox"/> Spouse 配偶 <input type="checkbox"/> Family member ⁵ , please specify: 家庭成員，請列明： <input type="checkbox"/> Close associate ⁶ , please specify: 關係密切的人，請列明： |
| | | From 由 To 至 | <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 | <input type="checkbox"/> Self 本人 <input type="checkbox"/> Spouse 配偶 <input type="checkbox"/> Family member ⁵ , please specify: 家庭成員，請列明： <input type="checkbox"/> Close associate ⁶ , please specify: 關係密切的人，請列明： |

Note 注意：

- 4 **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:
- 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
 - 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.

政治聯繫人物 (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：

- 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
- 「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。

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

「家庭成員」是指父母、子女、兄弟姐妹、岳父母。

- 6 **"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 25 to Part 26 below are ONLY applicable to Appointment of Authorized Person(s)
以下第 25 至 26 項只適用於委任獲授權人**

Applicable 適用
 Not Applicable 不適用

**25. Appointment of Authorized Person(s)
委任「獲授權人」**

Total Number of Authorized Person:
獲授權人總人數：

Certified true copy of Board Resolution(s) for appointment of Authorized Person(s) and signing arrangement are **attached**.
已附上董事局決議記錄委任獲授權人士操作帳戶及有關簽署安排之文本。

**26. Signing Arrangement
簽署安排**

According to the Board Resolution, Authorized Person(s) may operate the account as specified below:
根據董事局決議記錄，獲授權人士可按以下簽署安排代表本公司操作帳戶：

Total No. of Signatories
授權簽署數目

No. of Signatures Required
所須簽署

Special signing arrangement (if any)
特定簽署安排 (如有)

Applicant(s)' Checklist 申請公司覆核文件

Before submitting your application, please
在遞交閣下的申請前，請

| | Applicant 申請公司 | Witness ¹ 見證人 ¹ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| 1. Complete and sign ALL sections in the account opening form 填寫及簽署開戶申請表格 所有 部份 | <input type="checkbox"/> Completed & Signed 已填寫及簽署 | <input type="checkbox"/> Signed 已簽署 (See Part 46) (見第 46 項) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2. Attach the following documents*: 附上以下文件*: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| Guarantor's Information 擔保人資料 | The Guarantor shall provide: (See Part 20) (if applying corporate margin account / futures trading account) | 擔保人須提供：(見申請表第 20 項) (如申請公司證券孖展(融資)帳戶或期貨交易帳戶) | <input type="checkbox"/> Attached 已附上 | <input checked="" type="checkbox"/> N/A 不適用 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Completed "Guarantor Information" ; & Signed "Guarantor Agreement" ; & Copy of Guarantor's Official ID ² ; & Guarantor's Proof of Residential Address ³ | 已填寫的「擔保人資料」表格；及 已簽署的「擔保書」；及 擔保人的身份證明文件 ² ；及 擔保人的住址證明 ³ | <input type="checkbox"/> Attached 已附上 | <input type="checkbox"/> Signed 已簽署 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Tax Residency 稅務居民身分 | Completed & signed "Entity Tax Residency Self-certification" ; & Form W-9 ⁴ (applicable to U.S. taxpayer / entity) | 已填寫及簽署「 機構投資者：稅務居民身分自我聲明書 」；及 表格 W-9 ⁴ (適用於美國納稅人 / 企業) | <input type="checkbox"/> Attached 已附上 | <input checked="" type="checkbox"/> N/A 不適用 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Funds Withdrawal 提取資金 | Completed "Registration of Bank Accounts" (to register bank account(s) for giving funds withdrawal instructions online or by phone.) | 已填寫的「 登記銀行帳戶 」表格 (用作登記銀行帳戶以便日後可透過網上或電話方式給予資金提取的指令。) | <input type="checkbox"/> Attached 已附上 | <input checked="" type="checkbox"/> N/A 不適用 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Remarks 註釋：

- Witness to Certify all the Signature(s) and Supporting Documents:** An acceptable witness can be a BOOM employee, Justice of Peace, a branch manager of a licensed bank, lawyer, certified public accountant (practicing), chartered secretary, notary public, or a SFC licensed or registered person accredited to another intermediary.
見證人核對所有簽署及申請文件： 認可的見證人包括 BOOM 僱員/ 太平紳士/ 持牌銀行分行經理/ 律師/ 執業會計師/ 特許秘書/ 公證人/ 隸屬其他中介團體之證監會持牌或註冊人士。
 - Before signing on this form, each of the signer(s) shall present the original of his / her Identity Card or Passport to the Witness who will certify his / her identity. All the signature(s) and the affixment of the Company Chop on this form shall be made before the Witness.
在本表格上作出任何簽署前，每位簽署人士須向見證人出示其身份證或護照正本以作其身份之根據。而本表格上的所有簽署及公司印章的蓋印，均必須在見證人面前簽訂。
 - All the supporting documents (including Official ID copies of Key Person(s) and Guarantor) to be submitted with this form shall be signed by the Witness and stated as "Certified True Copy".
所有隨本表格遞交的文件(包括主要人士及擔保人之身份證明文件副本)，均須由見證人簽署並註明為「經核實之真實副本」。
- Official ID:** Official ID shall be issued by a government body bearing the holder's photo.
身份證明文件： 身份證明文件須由官方機構發出並附有持證人照片。
- Proof of Residential Address:** Proof of residential address can be a photocopy of utility bills, bank statements, etc. that was printed with the one's residential address and issued within 3 months. Kindly note that P.O. Box are not accepted.
住址證明： 住址證明須為最近三個月內發出的電費單或銀行月結單等副本一份。請注意，郵箱號碼恕不接受。
- Related Tax Residency Form(s):**
相關稅務居民表格：
 - Form W-9 (applicable to US Incorporated Entity): The Form W-9 is required to be completed by a US Person (include US entity, US business or organization and US domestic trust) to certify a Corporation's US tax status. Under the Foreign Account Tax Compliance Act (FATCA), foreign financial institutions (such as BOOM) are required to report to the US tax authority the financial assets in the Corporation's BOOM account. And it is BOOM's policy that US stock trading service is not offered to any US Person.
表格 W-9 (適用於美國企業)：如申請公司為美國人士(包括美國公司或企業、美國註冊基金)，便須填寫表格 W-9 以證明該公司的美國納稅人身份。根據「外國帳戶稅收遵從法」(FATCA) 規定，外國金融機構(例如 BOOM) 須向美國國稅局申報該公司在 BOOM 帳戶持有的資產。另外，按公司內部守則，BOOM 不會向任何美國人士提供美股交易服務。

- * Additional information and/or document(s) might be required for some type(s) / form(s) of incorporation.
- * 根據不同的公司註冊屬性，我們可能要求申請公司提供補充資料及 / 或額外文件。

△ Not applicable to Director(s), Individual Shareholder(s) and the Beneficial Owner(s) of listed company, regulated financial institution, government/public body, regulated investment vehicle.
△ 不適用於上市公司、受監管金融機構、政府或公共機構、受監管投資工具的董事、個人股東及實益擁有人。

For Official Use Only
只供本行使用

Apply Ref.
申請表編號

BOOM A/C No.
BOOM 帳戶號碼

Futures A/C No.
期貨帳戶號碼

Documents Handled and Checked by 處理及覆核文件

Document Check List 文件查核列：

| <u>Certified Copies 經核證之真實副本</u> | <u>Photocopies 影印副本</u> | <u>Additional Signed Documents 額外簽署文件</u> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Shareholding Structure [△] 股份結構圖 [△] <input type="checkbox"/> Board Resolution (open a/c) 董事局會議記錄 (核證開戶) <input type="checkbox"/> Board Resolution (Auth. P. & Sign Arr.) 董事局會議記錄 (委託授權人及簽署安排) <input type="checkbox"/> BR ^{2△} <input type="checkbox"/> AR and forms ^{2△} 商業登記 ^{2△} 週年報表及表格 ^{2△} <input type="checkbox"/> Cert. of Incumbency / Reg. Agents Cert ^{3△} <input type="checkbox"/> Register of Directors ^{3△} 董事證書 ^{3△} <input type="checkbox"/> Register of Members ^{3△} 股東證書 ^{3△} | <input type="checkbox"/> C.I. [△] <input type="checkbox"/> M&A [△] 註冊成立證書 [△] 公司章程大綱 [△] <input type="checkbox"/> ID of Directors, Ind. Shareholders, Beneficial Owners [△] 董事、個人股東及實益擁有人的身 份證明 [△] <input type="checkbox"/> ID of Auth. Persons 獲授權人的身份證明 <input type="checkbox"/> ID of Guarantor ¹ 擔保人的身份證明 ¹ | <input type="checkbox"/> Add. Proof of Directors, Ind. Shareholders, Beneficial Owners [△] 董事、個人股東及實益擁有人的 住址證明 [△] <input type="checkbox"/> Add. Proof of Auth. Persons 獲授權人的住址證明 <input type="checkbox"/> Bank Statement [△] 銀行月結單 [△] <input type="checkbox"/> Add. Proof of Guarantor ¹ 擔保人的住址證明 ¹ |
| | | <input type="checkbox"/> Section A: Particulars of Key Person 甲部：主要人士資料 <input type="checkbox"/> Key Person Tax Residency Self-Cert 主要人士：稅務居民身分自我聲明書 <input type="checkbox"/> Entity Tax Residency Self-Cert 機構投資者：稅務居民身分自我聲明書 <input type="checkbox"/> W-9 <input type="checkbox"/> Guarantor Info & Agmt ¹ 擔保人資料及擔保書 ¹ <input type="checkbox"/> Registration Bank A/C 登記銀行帳戶 |

Note: 1. For corporate margin application
註釋： 只適用於申請公司孖展（融資）帳戶
 2. For HK incorporated companies
在香港註冊成立之公司
 3. For non-HK incorporated companies
非香港註冊成立之公司
 Remarks: 備註：
[△] Not applicable to listed company, regulated financial institution, government/public body, regulated investment vehicle.
不適用於上市公司、受監管金融機構、政府或公共機關、受監管投資工具。

Required information and documents are obtained and checked
已收到及已核對開戶需要資料及文件
 Securities Client Agreement (& Futures Client Agreement, if app.) have been sent to the Client
已將「證券客戶協議」（及「期貨客戶協議」，如適用）交予客戶

| | | |
|-----------------------------------------------------------------|------------------------------------|-----------------------------------|
| Name of Handling Staff 負責職員姓名 (Use block letters 請以正楷填寫) | Signature of Handling Staff 負責職員簽署 | Date 日期 (YYYY/MM/DD 年/月/日) |
|-----------------------------------------------------------------|------------------------------------|-----------------------------------|

Reviewed by 核對資料

| Functional Head (Securities) 部門主管（證券） | Functional Head (Futures) 部門主管（期貨） | Compliance 法規部 |
|--------------------------------------------|--------------------------------------------|--------------------------------------------|
| Name 姓名 (Use block letters 請以正楷填寫) | Name 姓名 (Use block letters 請以正楷填寫) | Name 姓名 (Use block letters 請以正楷填寫) |
| Signature 簽署 Date 日期 (YYYY/MM/DD 年/月/日) | Signature 簽署 Date 日期 (YYYY/MM/DD 年/月/日) | Signature 簽署 Date 日期 (YYYY/MM/DD 年/月/日) |

Remarks / Comments

System Setup by 設定系統

Handling Staff 負責職員

 Name 姓名 (Use block letters 請以正楷填寫)

 Signature 簽署 Date 日期 (YYYY/MM/DD 年/月/日)

ENTITY TAX RESIDENCY SELF-CERTIFICATION

機構投資者：稅務居民身分證明書

(For Corporate Account 公司帳戶適用)

Return FAX / SCANNED Form

請以傳真 / 電郵方式交回本表格

BOOM Account Name
BOOM 帳戶名稱

BOOM Account No.
BOOM 帳戶號碼

Account Holder's Information 帳戶持有人資料

1. Company Name
公司名稱

English Name
英文名稱

(Use block letters 請以正楷填寫)

Chinese Name
中文名稱

(if applicable 如適用)

2. Place of Incorporation
註冊成立地

(Country 國家)

3. Correspondence Address 通訊地址 (P.O. Box not accepted 郵箱號碼恕不接受)

City & Province
城市及省份

Country
國家

Postal Code
郵政編號

4. Registered Office Address 公司註冊地址

City & Province
城市及省份

Country
國家

Postal Code
郵政編號

Tax Residence(s) 稅務居民所屬地

5. Declaration of U.S. Tax Status
美國稅務身分證明

Is the Account Holder a U.S. Person?
帳戶持有人是否為美國人士?

No
否

Yes
是

Please provide its Taxpayer Identification Number (TIN):
請提供其納稅人識別號碼:

6. Declaration of Tax Residence
稅務居民所屬地聲明

Please indicate Account Holder's country of tax residence. 請註明帳戶持有人的稅務居民所屬地。

(If it is resident in more than one country, please list out all countries of tax residence and associated TINs.)
(如所屬地超過一個國家，請註明所有所屬地及其相關的納稅人識別號碼。)

| Country of Tax Residence 稅務居民所屬地 | Taxpayer Identification Number(s) (TIN)* 納稅人識別號碼* |
|------------------------------------------|---------------------------------------------------|
| (1) <input type="text"/> (Country 國家) | <input type="text"/> |
| (2) <input type="text"/> (Country 國家) | <input type="text"/> |
| (3) <input type="text"/> (Country 國家) | <input type="text"/> |

Type of Entity under FATCA classification 根據 FATCA 的機構分類

7. Please tick (✓) one of the below categories as appropriate 請劃選以下其中一個合適分類：

a) U.S. Entity
美國機構

Please provide U.S. Taxpayer Identification Number (TIN):
請提供美國納稅人識別號碼:

b) Foreign Entity
海外機構

i) Foreign Financial Institution (FFI)
海外金融機構

Please provide Global Intermediary Identification Number (GIIN):
請提供全球中介機構識別號碼:

(Please ✓ one)
(請選擇一項)

ii) Passive Non-Financial Foreign Entity (NFFE)
非實質營運的非金融海外機構

c) Others
其他

Please specify:
請註明:

Type of Entity under CRS classification 根據「共同匯報標準」的機構分類

8. Please tick (✓) one of the below categories as appropriate 請剔選以下 其中一個 合適分類：

- a) Financial Institution e.g. depository financial institution, custodial institution, insurance company etc.
金融機構，例如存款金融機構、託管機構、保險公司等
- b) Professionally Managed Investment Entity, or tax resident in a Non-Participating Jurisdiction
專業管理投資機構，或機構的稅務居民所屬地未有參加「共同匯報標準」。
- c) Passive Non-Financial Entity
非實質營運的非金融機構
- d) Others, please specify:
其他，請列明：

Tax Residence (FATCA and CRS) Declaration 稅務居民身分 (FATCA 及 CRS) 聲明

I/We declare (as an authorized signatory of the Account Holder) that all the information provided in this form is, to the best of my/our knowledge and belief, accurate and complete. 本人/吾等(身為帳戶持有人的授權簽署人士)聲明盡本人/吾等所知及所信，本表格所提供的資料均為準確及完整。

I/We acknowledge and understand that the information contained in this form and any reportable account(s) may be reported to the tax authorities of the country in which this account is maintained and exchanged with tax authorities of another country/jurisdiction in which the Account Holder may be a tax resident pursuant to intergovernmental agreements to exchange financial account information. 本人/吾等確認及明白本表格所載的資料及任何所申報帳戶的資料，可能會根據關於與帳戶所在國家交換財務帳戶資訊之政府間協議申報予帳戶持有人所在國家/司法管轄區的稅務機關，並與另一個國家/司法管轄區或若干國家司法管轄區稅務機關交換。

I/We agree that any personal information collected from me/us under this form 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 the Account Holder and Boom Securities (H.K.) Limited ("BOOM"), as amended from time to time, or otherwise attached hereto (as applicable). 本人/吾等同意本表格所載由本人/吾等收集的任何個人資料，可按照帳戶持有人與寶盛證券(香港)有限公司("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/We undertake to advise BOOM and provide an updated self-certification form within 30 days of the occurrence of any change in circumstances which causes any of the information contained in this form to be incorrect or incomplete. 本人/吾等承諾在任何可導致本表格所載資料失實或不完整的情況變動發生後 30 日內通知 BOOM，以及提供最新的自行證明書。

By providing information under this form, I/we authorize BOOM to update the information of this BOOM account (if applicable), based on the information under this form, with immediate effective. 在本表格提供資料的同時，本人/吾等授權 BOOM，按本表格所提供的資料，更新此 BOOM 帳戶的資料(如適用)並即時生效。

Client's Signature (Please affix with company chop.)
客戶簽署 (請加蓋公司印鑑。)

Printed Name
正階姓名

Date (YYYY/MM/DD)
日期 (年/月/日)

For Official Use Only 只供本行使用

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

* Remarks: Under the Common Reporting Standard ("the CRS"), tax authorities require financial institutions such as BOOM to collect and report certain information relating to their customers' tax statuses.

* 註：根據「共同匯報標準」(簡稱「CRS」)規定，稅務機關要求包括 BOOM 在內的財務機構，向其客戶收集及匯報若干與客戶納稅狀況相關的資料。

If you have any questions regarding your tax residency and the acceptable Taxpayer Identification Number (TIN) formats, please refer to the rules that have been published by each tax authority on the following webpages.

倘若閣下不清楚稅務居民所屬地的定義，或不清楚閣下的所屬地對納稅人識別號碼的要求，請參照以下網址查看各個稅務機關所頒布的標準。

Tax Residency Rules 稅務居民所屬地規定： <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>

Tax Identification Numbers 納稅人識別號碼 (TINs)： <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

*** Important Terminologies 重要用語 ***

Common Reporting Standard ("the CRS") 「共同匯報標準」

It is a set of rules developed by the Organisation for Economic Co-operation and Development (OECD). It calls on governments participating in CRS to obtain information from their financial institutions and automatically exchange that information with other jurisdictions on an annual basis. 這是由經濟合作暨發展組織 (OECD) 制定的一套規定。它呼籲參與 CRS 的政府從其金融機構獲取信息，並每年自動與其他司法管轄區交換該信息。

Visit the OECD website for more information 了解更多資料，請訪問 OECD 網站：<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

Tax Residence 「稅務居民身分」

Under the CRS, we are required to determine where you are 'tax resident' (this will usually be where you are liable to pay income taxes). If your tax residence is outside Hong Kong (where your BOOM account is held), we may need to give the respective tax authorities the information in this information, along with information relating to your accounts. 根據共同匯報標準，我們須要確定閣下的納稅居住地(這通常是閣下須要繳納入息稅的地方)。若閣下的稅務居民身分地在香港(持有 BOOM 帳戶的地方)以外，我們可能須要向相關稅務機關提供本表格的信息以及與閣下賬戶相關的信息。

Taxpayer Identification Number ("TIN") 「納稅人識別號碼」

It is a unique number assigned by a government to an individual or an Entity and used to identify them for tax purposes. Some governments do not issue a TIN but might use some other number such as a social security/insurance number, citizen/personal identification/service code/number, or resident registration number. 它是由政府分配給個人或機構的編號，用於識別其稅務身份。一些政府或不發給稅務編號，但可能會使用其他身份證號碼代替，例如社會保障/保險編號，公民/個人身份號碼或居民登記號碼。

KEY PERSON TAX RESIDENCY SELF-CERTIFICATION

主要人士：稅務居民身分聲明書

(For Corporate Account 公司帳戶適用)

Return FAX / SCANNED Form

請以傳真 / 電郵方式交回本表格

BOOM Account Name
BOOM 帳戶名稱

BOOM Account No.
BOOM 帳戶號碼

Key Person Name
主要人士姓名

Supplementary Personal Information 補充個人資料

1. Current Residential Address 目前住宅地址 (P.O. Box not accepted 郵箱號碼恕不接受) Update as Correspondence Address 更新為通訊地址 2. Place of Birth 出生地

| | | | | | |
|--------------------------|--|--|---------------|---------------------|--------------|
| City & Province 城市及省份 | | | Country 國家 | Postal Code 郵政編號 | (Country 國家) |
|--------------------------|--|--|---------------|---------------------|--------------|

Country of Tax Residence and related Taxpayer Identification Number* ("TIN")
稅務居民所屬地及相關的納稅人識別號碼* ("TIN")

Country of Tax Residence 稅務居民所屬地 TIN 納稅人識別號碼 If a TIN is not available, please explain. 倘若未能提供 TIN, 請提供理由。

| | | | |
|----|--|--|--|
| 1. | | | |
| 2. | | | |
| 3. | | | |

Attach Form W-9 (applicable to U.S. taxpayer)
提供表格 W-9 (適用於美國納稅人)

Not applicable. The country of my tax residency is not currently participating in the CRS.
不適用。我的稅務居民所屬地 未有參加「共同匯報標準」。

Tax Residence (FATCA and CRS) Declaration
稅務居民身分 (FATCA 及 CRS) 聲明

I declare that all the information provided in this form is, to the best of my knowledge and belief, accurate and complete. 本人聲明盡本人所知及所信, 本表格所提供的資料均為準確及完整。

I acknowledge and understand that the information contained in this form and any reportable account(s) may be reported to the tax authorities of the country in which this account is maintained and exchanged with tax authorities of another country/jurisdiction in which I may be a tax resident pursuant to intergovernmental agreements to exchange financial account information. 本人確認及明白本表格所載的資料及任何所申報帳戶的資料, 可能會根據關於與帳戶所在國家交換財務帳戶資訊之政府間協議申報予本人所在國家 / 司法管轄區的稅務機關, 並與另一個國家 / 司法管轄區或若干國家司法管轄區稅務機關交換。

I agree that any personal information collected from me under this form 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 the account holder(s) and Boom Securities (H.K.) Limited ("BOOM"), as amended from time to time, or otherwise attached hereto (as applicable). 本人同意本表格所載由本人收集的任何個人資料, 可按照帳戶持有人與寶盛證券(香港)有限公司("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 undertake to advise BOOM and provide an updated self-certification form within 30 days of the occurrence of any change in circumstance which causes any of the information contained in this form to be incorrect or incomplete. 本人承諾在任何可導致本表格所載資料失實或不完整的情況變動發生後 30 日內通知 BOOM, 以及提供最新的自行證明書。

By providing information under this form, I authorize BOOM to update the information of my BOOM account (if applicable), based on the information under this form, with immediate effective. 在本表格提供資料的同時, 本人授權 BOOM, 按本表格所提供的資料, 更新本人 BOOM 帳戶的資料(如適用)並即時生效。

Key Person's Signature
主要人士簽署

Printed Name
正楷姓名

Date (YYYY/MM/DD)
日期 (年/月/日)

For Official Use Only 只供本行使用

| | | |
|---------------------------------------|-----------------------------|---------------------------------|
| Signature Verified by 核對簽署 Date 日期 | Reviewed by 核對資料 Date 日期 | System Setup by 設定系統 Date 日期 |
|---------------------------------------|-----------------------------|---------------------------------|

* Remarks:

* 註：

Under the Common Reporting Standard ("the CRS"), tax authorities require financial institutions such as BOOM to collect and report certain information relating to their customers' tax statuses.

根據「共同匯報標準」（簡稱「CRS」）規定，稅務機關要求包括 BOOM 在內的財務機構，向其客戶收集及匯報若干與客戶納稅狀況相關的資料。

If you have any questions regarding your tax residency and the acceptable Taxpayer Identification Number (TIN) formats, please refer to the rules that have been published by each tax authority on the following webpages.

倘若閣下不清楚稅務居民所屬地的定義，或不清楚閣下的所屬地對納稅人識別號碼的要求，請參照以下網址查看各個稅務機關所頒布的標準。

Tax Residency Rules 稅務居民所屬地規定：

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>

Tax Identification Numbers 納稅人識別號碼 (TINs)：

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

*** Important Terminologies ***

重要用語

Common Reporting Standard ("the CRS")

It is a set of rules developed by the Organisation for Economic Co-operation and Development (OECD). It calls on governments participating in CRS to obtain information from their financial institutions and automatically exchange that information with other jurisdictions on an annual basis.

Visit the OECD website for more information:

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

「共同匯報標準」

這是由經濟合作暨發展組織（OECD）制定的一套規定。它呼籲參與 CRS 的政府從其金融機構獲取信息，並每年自動與其他司法管轄區交換該信息。

了解更多資料，請訪問 OECD 網站：

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

Tax Residence

Under the CRS, we are required to determine where you are 'tax resident' (this will usually be where you are liable to pay income taxes). If your tax residence is outside Hong Kong (where your BOOM account is held), we may need to give the respective tax authorities the information in this information, along with information relating to your accounts.

「稅務居民身分」

根據共同匯報標準，我們須要確定閣下的納稅居住地（這通常是閣下須要繳納入息稅的地方）。若閣下的稅務居民身分地在香港（持有 BOOM 帳戶的地方）以外，我們可能須要向相關稅務機關提供本表格的信息以及與閣下賬戶相關的信息。

Taxpayer Identification Number ("TIN")

It is a unique number assigned by a government to an individual or an Entity and used to identify them for tax purposes. Some governments do not issue a TIN but might use some other number such as a social security/insurance number, citizen/personal identification/service code/number, or resident registration number.

「納稅人識別號碼」

它是由政府分配給個人或機構的編號，用於識別其稅務身份。一些政府或不會發出稅務編號，但可能會使用其他身份證號碼代替，例如社會保障 / 保險編號，公民 / 個人身份號碼或居民登記號碼。

REGISTRATION OF BANK ACCOUNTS 登記銀行帳戶

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
 Corporate 公司帳戶

BOOM Account No.
BOOM 帳戶號碼

Designated Bank Account(s) 指定銀行帳戶

(Information provided below is to register your bank account(s) for giving funds withdrawal instructions online or by phone.)
(以下資料用作登記閣下的銀行帳戶, 以便閣下可透過網上或電話方式給予資金提取的指令。)

Designated Bank Account #1 指定銀行帳戶 # 1

Designated Bank Account #2 指定銀行帳戶 # 2

1. Name of Bank Account Holder(s)
帳戶持有人名稱

Bank account must be held by the BOOM account holder(s) 銀行帳戶必須由帳戶持有人持有

2. IBAN / Bank Account Number
IBAN / 銀行帳戶號碼

3. Currency (Please ✓ one)
貨幣 (請選擇一項)

Single-currency (Please specify)
 單一貨幣 (請註明)

Multi-currency (incl. RMB 包括人民幣)
 多種貨幣 (包括人民幣)

Single-currency (Please specify)
 單一貨幣 (請註明)

Multi-currency (incl. RMB 包括人民幣)
 多種貨幣 (包括人民幣)

4. Bank Name
銀行名稱

5. Swift Code / Routing Number
Swift 號碼 / 匯款路徑號碼

6. Bank Address (in full)
銀行地址 (全寫)

Attach W-9 Form, if the bank account(s) are set up in U.S.
如銀行帳戶設於美國, 請另填寫及附上表格 W-9。

(Country 國家)

(Country 國家)

I/We, the undersigned, confirm that I/we have read and fully understood the attached provisions of "Client Agreement and Declaration - Standing Instruction and Indemnity for Funds Withdrawal" (the "declaration"). I/We accept and agree to be bound by the declaration in full, as it may be amended from time to time to time.

本人/吾等, 下述簽署人士, 確認本人/吾等已閱讀過及完全明白附上的「客戶協議及聲明 - 持續適用的資金提取指示及彌償保證」(「客戶聲明」)之條款。本人/吾等接受及同意受該客戶聲明現時有效及不時修改的條款所約束。

Client's Signature 客戶簽署

Date 日期 (YYYY/MM/DD 年/月/日)

(For joint account, both account holders must sign. For corporate account, please affix with company chop.)
(如屬聯名帳戶, 兩位帳戶持有人均須簽署。如屬公司帳戶, 請加蓋公司印章。)

Remarks: 1. RMB transfer will be rejected by your bank if your bank account is not RMB-denominated. Bank charges incurred is not refundable.

如您持有銀行帳戶並不是人民幣結餘帳戶, 銀行將會拒絕將人民幣存入。而因此收取的銀行手續費將不會獲得退還。

2. Transfer to third party bank account is not allowed and will not be handled.
我們不接受並不會處理將資金過戶至第三者銀行帳戶的要求。

For Official Use Only 只供本行使用

Signature Verified by 核對簽署

Date 日期

System Setup by 設定系統

Date 日期

Client Agreement and Declaration – Registration of Bank Accounts 客戶協議及聲明 - 登記銀行帳戶

1. I/We agree to authorize Boom Securities (H.K.) Limited, its affiliates, or its appointed agents (hereafter collectively referred to as "BOOM") to accept fund withdrawal / transfer instructions made by telephone or any other electronic means in favor of the Designated Bank Account(s) (previously defined as "Registered Bank Account(s)").
本人 / 吾等授權寶盛證券（香港）有限公司、其聯屬人士或委任代理人（以下統稱為「BOOM」），接納透過電話或任何其他電子方式作出的資金提取 / 過戶指示，並存入指定銀行帳戶（前定義為「登記銀行戶口」）。
2. I/We acknowledge that telephone or any other electronic instructions are not a secure means of giving fund withdrawal / transfer instructions; that I/we am/are aware of the risks involved; and that my/our request to BOOM to accept the fund withdrawal / transfer instruction by telephone or any other electronic instruction is for my/our convenience.
本人 / 吾等知悉以電話或任何其他電子方式給予資金提取 / 過戶指示並不是安全的方式；而本人 / 吾等亦知悉所涉及的風險；本人 / 吾等現要求 BOOM 接納本人 / 吾等以電話或任何其他電子方式給予資金提取 / 過戶指示。
3. In consideration of BOOM's acceptance of withdrawal / transfer instructions made by telephone or any other electronic instruction, I/we hereby unconditionally agree as follows:
就 BOOM 接納以電話或任何其他電子方式給予資金提取 / 過戶指示，本人 / 吾等無條件同意以下各項：
 - 3.1. To indemnify and keep indemnified BOOM from and against all actions, claims, demands, liabilities, obligations, losses, damages, costs (including, without limitation, interest, legal fees and expenses) and expenses of whatever nature (whether actual or contingent) suffered or incurred, sustained by or threatened against BOOM whatsoever and howsoever arising from or, in connection with, or in any way relating to, acceptance by BOOM in good faith of such funds withdrawal / transfer instruction by telephone or other electronic means, purporting to be authorized by me/us or by my/our authorized signatory or signatories.
承諾賠償及持續賠償 BOOM 因接納由本人 / 吾等，或由本人 / 吾等所授權人簽署，以電話或任何其他電子方式給予的資金提取 / 過戶指示，而蒙受、招致或面對其威脅的任何法律訴訟、索償、請求、債務、義務、損失、損毀、費用（包括但不限於利息、法律訴訟費及支出）及任何形式的支出（不論是實際或是可能的支出）。
 - 3.2. BOOM shall be under no obligation to accept or act on any fund withdrawal / transfer instruction by telephone or any other electronic means and any such instruction shall not be operative until received and accepted by BOOM.
BOOM 並無責任接納或執行以電話或任何其他電子方式給予的資金提取 / 過戶指示，而上述指示均在 BOOM 收取及接納有關指示後方會生效。
 - 3.3. BOOM may at any time request verification of the Account Holders' instruction at its sole discretion.
BOOM 可全權酌情決定隨時要求戶口持有人核實有關指示。
 - 3.4. BOOM may at any time give notice to me/us that it will refuse to accept further fund withdrawal / transfer instruction given by telephone or any other electronic means.
BOOM 可隨時通知本人 / 吾等，其將拒絕接納以電話或任何其他電子方式進一步給予的資金提取 / 過戶指示。
 - 3.5. BOOM will only accept withdrawal / transfer instructions made to the account(s) specified by this instruction.
BOOM 將只接納本指示註明的銀行戶口提取 / 過戶指示。

(If there's any conflict between the English and Chinese versions of this document, the English version shall prevail.)

(本文件的中英文版本如出現歧義，一切解釋概以英文版本為準。)

GUARANTOR INFORMATION & AGREEMENT

擔保人資料及擔保書

(For Corporate Securities Margin Account / Corporate Futures Trading Account)
(公司證券孖展(融資)帳戶 / 公司期貨交易帳戶適用)

Return ORIGINAL Form
請交回此申請表正本

Guarantor's Information 擔保人資料

Basic Information 基本資料

| | | | |
|-----------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|--------------------------------------------------------------------------------------------|
| 1. Name 姓名 | <input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Ms. 小姐 <input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> Dr. 博士 | English Name 英文姓名 | Chinese Name 中文姓名 |
| 2. Gender 性別 | <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女 | 3. Marital Status 婚姻狀況 | <input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚 |
| 4. Date of Birth 出生日期 | Year 年 | Month 月 | Day 日 |
| 5. Citizenship 國籍 | 6. Primary Residence 主要居留地 | | |
| 7. Official ID 身份證明文件 | ID No. 證件號碼 | Type 種類 | <input type="checkbox"/> Attach certified copy of official photo ID 附上印有相片的身份證明文件的已核證副本 |
| 8. Are you currently holding any BOOM account(s)? 您目前是否持有任何 BOOM 帳戶? | <input type="checkbox"/> No 否 <input type="checkbox"/> Yes* 是* | * Please provide your BOOM A/C No: 請提供您的 BOOM 帳戶號碼: | |
| 9. Besides the account mentioned above, are you related to any other BOOM account(s)? 除上述帳戶外, 您是否與其他 BOOM 帳戶有任何關連? | <input type="checkbox"/> No 否 <input type="checkbox"/> Yes* 是* | * Please specify: 請註明: | |

Employment and Financial Status 就業及財政狀況

| | | | |
|--------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------|
| 10. Employer's Name 僱主名稱 | 11. Industry 業務性質 | | <input type="checkbox"/> Securities / Finance 證券 / 金融 <input type="checkbox"/> Others, please specify 其他, 請列明 |
| 12. Annual Income (USD) 每年入息 (美元) | <input type="checkbox"/> Below \$25,000 以下 <input type="checkbox"/> \$50,000 - \$99,999 <input type="checkbox"/> \$500,000 or above 或以上 | 13. Years of Employment 受僱年數 | 14. Position 職銜 |
| 15. Properties 物業 | <input type="checkbox"/> Owned 全資擁有 (Please specify the property address 請註明物業地址) <input type="checkbox"/> Mortgaged 按揭 <input type="checkbox"/> Rented 租住 | <input type="checkbox"/> With Parents 與父母同住 <input type="checkbox"/> Others 其它 | 16. Present Net Assets 資產淨值 |
| | | | Currency 貨幣 Amount 金額 |

Contact Details 聯絡資料

| | | | |
|-----------------------------------------------------------------------|----------------------------------------------------------------------------------------------------|------------------------------------------------|----------------------------------------------------------------------------|
| 17. Mobile Tel. 手提電話 | + [] - [] | 18. Email 電郵地址 | [] |
| 19. Home Tel. 住宅電話 | + [] - [] | 20. Office Tel. 公司電話 | + [] - [] |
| 21. Residential Address# 現居地址# | 22. Office Address# 公司地址# | | |
| <input type="checkbox"/> Attach proof of residential address 附上住址證明副本 | # P.O. Box not accepted 郵箱號碼恕不接受 | | |
| 23. Correspondence Address 通訊地址 | <input type="checkbox"/> Residential Address 住宅地址 <input type="checkbox"/> Company Address 公司地址 | 24. Preferred Communication Language 主要通訊語言 | <input type="checkbox"/> English 英文 <input type="checkbox"/> Chinese 中文 |

Guarantee for the Client 為客戶擔保

| | | | | | |
|----------------------------------|------------------------------|----------------------------------------------|-----------|------------|----------|
| 25. Client's Info 客戶資料 | Name 名稱 | B.R. / C.I. No. B.R. / 公司註冊編號 | | | |
| 26. BOOM A/C BOOM 帳戶 | Securities A/C No. 證券帳戶號碼 | Securities Agreement Sign Date 證券客戶協議簽訂日期 | Year 年 | Month 月 | Day 日 |
| | Futures A/C No. 期貨帳戶號碼 | Futures Agreement Sign Date 期貨客戶協議簽訂日期 | Year 年 | Month 月 | Day 日 |

(If applicable 如適用)

Guarantor Declaration and Signature 擔保人聲明及簽署

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

I, the undersigned, declare and represent that I have examined the information as provided by me on this Form are true, correct and complete and that the representations made by me 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.

本人同意本表格的資料均屬真實及正確。除非 BOOM 收到任何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。

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

I 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.

本人同意，本表格內所披露之個人資料，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。

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

I, the undersigned, confirm that I have read and fully understood the attached provisions of the **Guarantee Agreement**. I accept and agree to be bound by the Guarantee Agreement in full, as it may be amended from time to time.

本人，下述簽署人士，確認本人已閱讀過及完全明白附上的「擔保書」之條款。本人接受及同意受該「擔保書」現時有效及不時修改的條款所約束。

Guarantor's Signature 擔保人簽署

Date 日期 (YYYY/MM/DD 年/月/日)

30. Witness' Signature 見證人的簽署

Name of Witness 見證人姓名

Occupation of Witness 見證人職業

Witness' Signature* 見證人簽署*

Date 日期

* Acceptable witness can be a BOOM employee, a SFC licensed or registered person, a Justice of Peace, or a professional person (such as a branch manager of a licensed bank, lawyer, certified public accountant (practicing), chartered secretary or notary public).

認可的見證人包括 BOOM 僱員、證監會持牌或註冊人士、太平紳士、專業人士 (如持牌銀行分行經理、律師、執業會計師、特許秘書、公證人等)。

The witness also need to sign and state "Certified True Copy" on the Guarantor's official ID / passport cop(ies). 見證人另須於擔保人的身份證明文件副本上簽名並寫上「經核證之真實副本」。

For Official Use Only 只供本行使用

| | | |
|----------------------------|--------------------|----------------------|
| Signature Verified by 核對簽署 | Authorized by 批核授權 | System Setup by 設定系統 |
| Date 日期 | Date 日期 | Date 日期 |

Guarantor Warranty and Undertaking – Guarantee Agreement

擔保人保證及承諾書 - 擔保書

This Guarantee is made between the person (the “**Guarantor**”) named as the Guarantor in the “**Guarantor Information**” form (the “**Form**”) and Boom Securities (H.K.) Limited (“**BOOM**”) on the day when the Form is signed by the Guarantor.

本擔保書由「擔保人資料表格」（「**表格**」）內列明的人士（「**擔保人**」）及寶盛證券(香港)有限公司（「**BOOM**」）於擔保人簽署表格的日期同時簽訂。

Whereas:

鑒於

- A. The Guarantor offers this Guarantee in consideration for BOOM accepting or continuing to maintain one or more accounts (including but not limited to the Client's BOOM account(s) stated in the form) for the benefit of the person (the “**Client**”) named as the Client in the Form; and 擔保人考慮 BOOM 接納或持續為表格內列明的客戶（「**客戶**」）設立或維持一個或多個帳戶（包括但不限於表格內列明客戶的 BOOM 帳戶）而出具本擔保書；及
- B. BOOM agrees to accept this Guarantee as a condition precedent to accepting or continuing to maintain one or more accounts for the benefit of the Client. BOOM 同意接納將本擔保書作為一項先決條件，以接納或持續為客戶設立或維持一個或多個帳戶。

Now it is hereby agreed as follows:

雙方茲協議如下：

1. Unlimited Guarantee 無限制擔保書

In consideration for BOOM accepting or continuing to maintain one or more accounts for the benefit of the Client or for other valuable consideration (receipt of which is hereby acknowledged), the Guarantor hereby unconditionally and irrevocably guarantees to BOOM as primary obligor and not merely as surety that the Guarantor shall pay promptly to BOOM any and all amounts demanded by BOOM, from time to time and at any time, which represent a deficit in any of the Client's accounts with BOOM and any other sums owing by the Client to BOOM, howsoever arising under the Securities Client Agreement and Futures Client Agreement (if applicable) (collectively the “**Agreement(s)**”) made between the Client and BOOM. This Guarantee is a continuing guarantee and shall extend to the ultimate balance of any and every deficit and other sums owing to BOOM (together with all expenses whatsoever incurred by BOOM in the negotiation, preparation, execution or enforcement of this Guarantee) and shall not be discharged or otherwise affected by any intermediate payment or satisfaction of any part of the Guarantor's obligations.

考慮到 BOOM 接納或持續為客戶設立或維持一個或多個帳戶，或者因其有價值之代價（該等代價現已獲確認收妥），擔保人茲以主要責任人而非僅以保證人身份，無條件且不可撤回地向 BOOM 擔保，擔保人將按 BOOM 不時與及任何時候提出之要求，迅速向 BOOM 支付任何及一切款項，以填補 BOOM 為客戶設立之 任何 帳戶之赤字或者客戶拖欠 BOOM 之任何其它款項，不論該等赤字或拖欠款項是如何依據客戶與 BOOM 簽訂之「證券客戶協議」及「期貨客戶協議」（如適用）（合稱「協議書」）而產生。本擔保書是一份持續有效之擔保書，適用於客戶帳戶之任何及每項赤字與及拖欠 BOOM 之其它款項（連同 BOOM 於談判、準備、執行或強制執行本擔保書時產生之一切任何種類費用）之最終結欠金額，並且不應因任何中期付款或者擔保人履行其任何部分責任而解除或受到影響。

2. Unconditional Guarantee 無條件擔保書

If the Client fails to make payment in accordance with the Agreement(s) for any reason whatsoever, BOOM shall forthwith be entitled thereupon to make a written demand on the Guarantor to make full payment of all monies still due and owing by the Client to BOOM together with all such amount of outstanding interest, costs and expenses accrued thereon as stated by BOOM in notice. The Guarantor's obligation to make such payment shall be irrevocable, absolute and unconditional, irrespective of the validity or enforceability of the Agreement(s), the absence of actions by BOOM to enforce the Agreement(s), any waiver or consent by BOOM to enforce the Agreement(s), any waiver or consent by BOOM concerning any provision of the Agreement(s), the rendering of any judgment against the Client or any action by BOOM to enforce such judgment, or any other circumstances that otherwise might constitute a legal or equitable defense or discharge of a guarantor.

倘若客戶因任何原因不按協議書規定支付款項，BOOM 有權書面要求擔保人按 BOOM 通知書所列金額，全數支付客戶到期但仍未支付 BOOM 之一切款項連同該等欠款應計之一切欠款利息、費用及開支。擔保人作出該等付款之責任是不可撤回的、絕對的及無條件的，不論協議書之有效性或可強制執行性如何、BOOM 沒有採取行動強制執行協議書規定、BOOM 放棄或同意強制執行協議書任何規定、BOOM 就協議書任何規定棄權或同意、法庭對客戶作出任何判決或者 BOOM 為強制執行該等判決採取任何行動、或者存在可能構成一種法律上或衡平法上之擔保人抗辯或解除責任之任何其它情況。

3. Preservation of Rights 保留權利

Until any and every deficit and other sums owing have been irrevocably paid and discharged in full, BOOM may:

於客戶帳戶之任何及每項赤字或者客戶拖欠 BOOM 之任何及每項其它款項經已不可撤回地支付及全部清償之前，BOOM 可以：

- a. refrain from applying or enforcing any other security, moneys or rights held or received by BOOM in respect of such amounts or apply and enforce the same in such manner and order as BOOM sees fit (whether against such amounts or otherwise) and the Guarantor shall not be entitled to the benefit of the same and also shall not take any step to enforce any right or claim whatsoever against the Client in respect of any monies paid by the Guarantor to BOOM under this Guarantee or have or exercise any rights as surety in competition with or in priority to any claim of BOOM; and 不運用或執行其持有或收到之與該等款項相關之任何其它證券、款項或權利，或者以其認為合適之方式及次序（不論是否就該等款項或其它項目），運用或執行該等證券、款項或權利，擔保人無權受益於該等證券、款項或權利，並且不得就其按本擔保書規定支付 BOOM 之任何款項採取任何行動強制執行任何權利或向客戶提出任何種類之索償，亦不擁有或不得行使與 BOOM 之任何索償構成競爭或優先於 BOOM 之任何索償之任何保證權利；及

- b. hold in suspense account (without liability to pay interest thereon) any monies received from the Guarantor or on account of the Guarantor's liability hereunder. Notwithstanding any such payment, in any proceedings in (or analogous to) bankruptcy, liquidation, composition or arrangement, BOOM may prove for and agree to accept any dividend or composition in respect of the whole or any part of any amounts owing to BOOM as if this Guarantee had not been given.

將向擔保人收取或因本擔保書規定就擔保人之責任而收取之任何款項存入暫記帳戶（毋須支付存款利息）。儘管存在任何該等付款，處於任何法律程序期間、出現（或類似出現）破產、清盤、債務和解或安排情況，BOOM 均可以申領並且同意接收拖欠 BOOM 之全部或任何部分款項之任何紅利或債務和解，如同擔保人沒有出具本擔保書一般。

4. Additional Security 附加保證

This Guarantee shall be in addition to and shall not in any way be prejudiced by any other guarantee or security now or hereafter held by BOOM as security for the obligations of the Client. BOOM's rights hereunder are in addition to and not exclusive of those provided by law.

本擔保書為作為客戶之責任之保證，並為現在或日後由 BOOM 持有作為保證物之任何其它擔保書或保證物之附加保證，並且不受任何該等擔保書或保證物影響。本擔保書規定之 BOOM 權利，附加於並且不除法律規定之 BOOM 權利。

5. Certificate 證明書

A certificate of BOOM as to any amount owing from the Client hereunder shall (in the absence of any manifest error) be conclusive evidence of such amount as against the Guarantor.

BOOM 按本擔保書規定就客戶拖欠之任何款項發出一份證明書，（在無明顯錯誤之情況下，）應為擔保人應負擔該等款項之決定性證據。

6. Security 保證

The Guarantor hereby warrants that it does not hold and will not take or hold without BOOM's prior written consent any security from the Client in respect of the Guarantor's liability hereunder. Any security so taken (whether with or without the consent of BOOM) shall be held in trust for BOOM and as security for the Guarantor's liability under this Guarantee. The Guarantor will deposit such security and any document relating thereto with BOOM as soon as practicable.

擔保人茲保證，未經 BOOM 事先書面同意，擔保人不會就本擔保書規定之擔保人責任而持有並且將不會持有客戶交給之任何證券。如此取得之任何證券（不論是否經 BOOM 同意），應以信託形式為 BOOM 持有，並且作為本擔保書規定之擔保人責任之保證物。擔保人將在切實可行的範圍內盡快把該等證券以及任何相關文件交給 BOOM 保管。

7. Payments 付款

a. Manner of Payment. All payments to be made by the Guarantor hereunder shall be made in immediately available funds in the same currency in which the corresponding obligations are payable by the Client to such account as BOOM may specify.

付款方式：擔保人按本擔保書規定支付之所有款項，應以與客戶應支付有關款項之帳戶相同之貨幣，用即時可動用之資金，存入 BOOM 指定之帳戶。

b. Taxes. All payments by the Guarantor under or in connection with this Guarantee shall be made without set-off or counterclaim, free and clear of and without deduction for or on account of all taxes. All taxes in respect of this Guarantee and payments hereunder shall be for the account of and shall be paid by the Guarantor for his own account. If the Guarantor is compelled by law to make payment subject to any tax and BOOM does not actually receive for its own benefit on the due date a net amount equal to the full amount provided for hereunder, the Guarantor will pay all necessary additional amounts to ensure receipt by BOOM of the full amount so provided for. The Guarantor will indemnify BOOM in respect of all such taxes.

稅項：擔保人按本擔保書規定或與本擔保書相關而支付之一切款項，應不含稅項、已清繳稅項、毋需沖銷或回扣稅項。與本擔保書以及本擔保書規定款項相關之所有稅項，應由擔保人自行繳付。倘若擔保人被法律強令支付之款項必須納稅，且 BOOM 於到期應付日期尚未為其本身利益實際收到相當於本擔保書規定之全數款項金額之淨金額，擔保人將支付一切必須之附加金額，以確保 BOOM 收到本擔保書規定之全數款項金額。擔保人將就所有該等稅項賠償 BOOM。

c. Costs. All costs and expenses, including stamp duty, legal fees and any other costs or charges payable in connection with this Guarantee shall be borne by the Guarantor and the Guarantor shall pay to BOOM on demand immediately all such costs and expenses.

費用：與本擔保書相關之一切費用開支，包括印花稅、法律費用、以及任何其它應付之費用或收費，均應由擔保人負擔，且擔保人應就 BOOM 之要求即時向 BOOM 支付一切該等費用及開支。

8. Undertakings 承諾

a. General. The undertakings in this Clause shall remain in force from and after the date hereof and so long as any deficit is or may be outstanding or this Guarantee is in force.

一般規定：本條中所列之各項承諾，於本擔保書簽署之日開始生效，只要客戶帳戶出現任何赤字或可能未償付之款項或者本擔保書仍然有效時，本擔保書將持續有效。

b. Information. The Guarantor will deliver to BOOM promptly upon request such information as to his business affairs and financial condition as BOOM from time to time may request.

資料：擔保人將按 BOOM 之要求，從速向 BOOM 提供 BOOM 不時需要之業務與財務狀況資料。

c. Consents. The Guarantor will obtain and promptly renew from time to time all consents, licenses, approvals and authorizations as may be required under any applicable law or regulation for the making, performance, validity and enforceability of this Guarantee and shall comply with the terms unconditionally thereof.

同意：擔保人將按照任何適用法律或規例規定，取得並且不時即時更新訂立、履行本擔保書並使本擔保書有效及可予強制執行所需之一切同意書、特許證、批准書及授權書，並且應無條件遵守所述同意書、特許證、批准書及授權書所含之條款。

d. Disposals. The Guarantor will not, either in a single transaction or in a series of transactions whether related or not and whether voluntarily or involuntarily, sell, convey, transfer or otherwise dispose of all or a substantial part of the assets of the Guarantor.

處置：擔保人將不會在一次單一交易或者一系列交易（不論是否相互關連、自願還是不自願）之中出售、轉易、轉移或以任何其它方式處置擔保人之資產之全部或其中一個重要組成部分。

e. Negative Pledge. The Guarantor will not create or permit to subsist any encumbrance or arrangement or agreement the effect of which is the creation of security on the whole or any part of the respective present or future assets of the Guarantor.

負質押：擔保人將不製造或者允許他人存續以擔保人現在或將來之全部或任何部分資產作為保證之任何產權負擔、安排或協議。

f. Third Party Guarantees. The Guarantor will procure that no guarantee or other assurance whatsoever against financial loss is granted by him or remains outstanding on the date hereof, without the written consent of BOOM.

第三者擔保書：未經 BOOM 書面同意，擔保人將不會就任何資金損失或於本擔保書簽署日期的尚未清償之款項，促使作為第三者的擔保人簽署任何擔保書或者作出其它保證。

g. Not in Default. The Guarantor will disclose to BOOM in writing immediately if the Guarantor is in default under any agreement or instrument binding on him or affecting his assets or involved in any material litigation.

不得違約：擔保人倘若違反對其具約束力、或者對其資產有影響之任何協議或契約文件規定，或者涉及任何重大訴訟案件，擔保人將會把有關情況，即時以書面通知 BOOM。

9. Miscellaneous 其它規定

a. Set-off. BOOM may (but shall not be obliged to) set-off against any obligation of the Guarantor due and payable hereunder any moneys, securities and any other property held by BOOM or any Affiliated Company for the account of the Guarantor (whether sole or joint with any other person or persons) at any office of BOOM or any Affiliated Company anywhere and in any currency. BOOM may effect such currency exchanges as are appropriate to implement such set-off. For the purposes of this Clause 9a, "Affiliated Company" shall mean any company that is, for the time being, a company having an ordinary share capital of which not less than 10 per cent is owned directly or indirectly by BOOM or which directly or indirectly owns not less than 10 per cent of the ordinary share capital of BOOM.

抵銷：BOOM 可以（但是沒有義務如此辦理）將其或其聯營公司以任何貨幣在 BOOM 或任何聯營公司於任何地方設立之任何辦事處為擔保人帳戶（不論是獨有帳戶還是與任何其他人士之聯名帳戶）持有之任何款項、證券、以及任何其它財產，用來抵銷本擔保書規定擔保人到期應付之任何款項。BOOM 可以適當貨幣兌換該等貨幣，以進行該等抵銷。就本擔保書第 9a 款而言，“聯營公司”一詞，指當時由 BOOM 直接或間接擁有其不少於百分之十（10%）之普通股之任何公司，或者指當時直接或間接擁有 BOOM 不少於百分之十（10%）之普通股之任何公司。

b. Interest on Obligations. All sums owed by the Guarantor to BOOM under this Guarantee including, but not limited to, BOOM's costs and expenses of collection (including legal costs), shall bear interest payable on demand at a rate per annum equal to 8% over either the cost of funds to BOOM or the prime lending rate charged by The Hongkong and Shanghai Banking Corporation Limited from time to time, whichever is the higher, from the date when such sums become payable by the Guarantor hereunder until payment of such sums in full provided that BOOM may vary the prevailing rate of interest from time to time.

責任利息：擔保人按本擔保書規定欠下 BOOM 之一切款項，包括但不限於 BOOM 之各項費用及收款開支（包括法律費用），應於催繳時支付利息。所述利息應以高於相當於 BOOM 投入之資金成本或香港上海滙豐銀行有限公司不時公布之最優惠利率百分之八（8%）以年利率計算（取兩者之中較高者），從本擔保書規定擔保人應支付該等款項之日起，計算至該等款項全部支付之日止。惟 BOOM 可不時更改現行利率。

- c. Assignment. Neither this Guarantee nor any interests or obligations in or under this Guarantee may be transferred or assigned by the Guarantor without the prior written consent of BOOM.
轉讓：未獲得 BOOM 事先書面同意，擔保人不得轉移或轉讓本擔保書或者本擔保書所含或規定之任何利益或責任。
- d. Amendments. No amendment, modification or waiver in respect of this Guarantee will be effective unless in writing and executed by each of the parties or confirmed in writing.
修訂：除非經訂約雙方書面簽署或書面確認，否則對本擔保書之任何修訂、修改或棄權一概無效。
- e. Irrevocable guarantee. This Guarantee shall not be revocable by the Guarantor and shall remain in full force and effect until all the undertakings hereunder have been discharged by the Guarantor in full to Broker's satisfaction and shall be binding on the Guarantor's executors, administrators, successors or legal representative. Also, if any of the provisions of this Guarantee becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforceability of the remaining provisions shall not in any way be affected or impaired.
不可撤回之擔保書：本擔保書不能由擔保人撤回，並且保持十足效力，直至 BOOM 滿意擔保人已履行本擔保書規定之全部承諾時為止。本擔保書對擔保人之遺囑執行人、遺產管理人、繼承人或法定代表人均具約束力。倘若按法律規定，本擔保書之任何規定於任何方面成為無效、不合法或不可強制實施之規定，本擔保書其餘各項規定之有效性、合法性或可強制實施性，於任何方面均不受影響或損害。

10. Joint and several obligations 共同及各別責任

- a. Where this Guarantee is executed by or on behalf of the Guarantor involving two or more parties, the Guarantor's obligations shall take effect as joint and several obligations and all references to the Guarantor shall take effect as references to any of such parties. This Guarantee shall not be revoked or impaired as to any of such parties by the death, incapacity or insolvency of any other party.
當簽署本擔保書之擔保人為兩名或多名人士時，擔保人之責任應成為共同及各別責任，由所述兩名或多名擔保人承擔，本擔保書中提及之擔保人，應指所述兩名或多名擔保人其中之任何一人。所述兩名或多名擔保人其中之任何一人死亡、無行為能力或者無力償債，本擔保書不得撤銷或受損害，亦不影響其他擔保人之責任。
- b. BOOM may release or discharge any of such parties from their obligations under this Guarantee or accept any compromise from or make any other arrangements with any of such parties without releasing or discharging the other(s) or otherwise prejudicing or affecting BOOM's rights and remedies against the other party(ies).
BOOM 可以免除或解除所述兩名或多名擔保人其中任何一人之本擔保書所規定之各項責任，或者接受所述兩名或多名擔保人其中任何一人之任何妥協或與其達成任何其它安排，而不免除或解除其他各擔保人之責任，亦不影響 BOOM 對其他擔保人行使各項權利或採取補救措施。

11. Notice 通知

Any notice or communication given by BOOM to the Guarantor shall be deemed made or given, if the same is addressed to the Guarantor at any of his business, residential or mailing addresses as they appear from time to time on BOOM's records or by telephone, electronic mail or facsimile to any number or address notified to BOOM from time to time for the purpose
BOOM 發給擔保人之任何通知或通訊，倘若發往 BOOM 不時記錄之擔保人之任何商業地址、住宅地址或郵遞地址，或者以電話、電子郵件或圖文傳真方式發往擔保人為接收通知目的不時通知 BOOM 之任何號碼或地址，則視該通知經已於下列時間送達：

- a. on the second business day after such notice is mailed (in the case of post); and
(若採用郵遞方式，) 於該等通知寄出之後第二個營業日；及
- b. when delivered (in the case of personal delivery) or communicated (in the case of telephone, telex cable, telegraph, electronic mail or facsimile transmission), and
(若為專人送交，) 於通知送達之時，或者(若採用電話、電傳、電報、電子郵件或圖文傳真方式發出)，

that no such notice of communication need to be signed on behalf of BOOM. 於通訊完成之時，且該等通訊毋須有人代表 BOOM 簽署。

12. Governing Law 法律管轄

This Guarantee and all rights, obligations and liabilities hereunder shall be governed by and construed in accordance with the laws of the Hong Kong Special Administrative Region of the People's Republic of China ("HKSAR") and the parties hereto irrevocably submit to the non-exclusive jurisdiction of the courts of HKSAR.

本擔保書及其規定之一切權利、義務及責任，受中華人民共和國香港特別行政區（「香港特區」）法律管轄並應根據所述法律詮釋，且訂約雙方均不可撤回地服從香港特區法院之非專屬性司法管轄。

(If there's any conflict between the English and Chinese versions of this document, the English version shall prevail.)
(本文件的中英文版本如出現歧義，一切解釋概以英文版本為準。)