

FUTURES ACCOUNT APPLICATION 申請期貨交易帳戶

(For Existing Corporate Securities Trading Account Holder(s))
(現有公司證券交易帳戶持有人適用)

Return ORIGINAL Form
請交回此申請表正本

Name of Account
帳戶名稱

(Use block letters 請以正楷填寫)

BOOM Account No.
BOOM 帳戶號碼

For existing **Corporate Securities Trading Account Holder(s)** to add Futures Trading Account, please
現有的 **公司證券帳戶持有人**，如欲申請增加期貨交易帳戶，請

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

Guarantor 擔保人 (For Corporate Margin Account Application Only)
(祇適用於申請公司存展(融資)帳戶)

1. Guarantor's Information 擔保人資料

Title
稱謂

- Mr. 先生 Ms. 小姐
 Mrs. 太太 Dr. 博士

Telephone No.
電話號碼

+ [] - []

Surname
英文姓氏

First & Middle Name
英文名稱

(Use block letters 請以正楷填寫)

For Futures Account Application, please attach the following documents:
申請期貨交易帳戶，請附上以下文件：

- Completed "Guarantor Information"
已填寫的「擔保人資料」表格
- Signed "Guarantor Agreement"
已簽署的「擔保書」
- Certified Copy of Guarantor's Official ID
擔保人身份證明文件經核證之真實副本
- Guarantor's Address Proof
擔保人的地址證明

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

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

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

2. 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 (HK) Limited: **Futures Client Agreement (April 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（二零二四年四月版）（「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。

3. 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 the **Corporate Client Information 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.

本公司同意本公司在「公司客戶資料表格」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。

4. 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，本公司向 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。

5. Acknowledgement regarding Appointment of Authorized Person(s) 關於委任獲授權人的確認

We, the undersigned, acknowledge and confirm that, unless otherwise specified, the Authorized Person(s), as previously appointed and authorized for the BOOM account (as indicated at the top on the first page of the form), is/are authorized, in the same manner as the BOOM account, to give instruction, to operate and/or to trade in relations to the Futures Account on our behalf.

本公司，下述簽署客戶，明白及確認，除另有訂明外，所有根據 BOOM 帳戶（本表格第一頁頁首所示）先前已委任並授權的「獲授權人」，均獲同樣的授權代表本公司就此期貨帳戶，發出指示、操作帳戶及 / 或進行交易。

6. 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

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)

For Official Use Only 只供本行使用

BOOM A/C No.
BOOM 帳戶號碼

Futures A/C No.
期貨帳戶號碼

Futures Client Agreement have been sent to the Client
已將「期貨客戶協議」交予客戶

Name of Handling Staff
負責職員姓名

Signature of Handling Staff
負責職員簽署

Date
日期

(Use block letters 請以正楷填寫)

(YYYY/MM/DD 年/月/日)

Reviewed by 核對資料

Name of Functional Head (Futures)
部門主管 (期貨) 姓名

Signature
簽署

System Setup by 設定系統

Name of Staff
職員姓名

Signature
簽署

(Use block letters 請以正楷填寫)

Date 日期

(YYYY/MM/DD 年/月/日)

(Use block letters 請以正楷填寫)

Date 日期

(YYYY/MM/DD 年/月/日)

CORPORATE CLIENT INFORMATION FORM
公司客戶資料表格

(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

Effective Date Immediate Effective 即時生效
生效日期 Effective from 由此日期起

(Please ✓ one) (請選擇一項)

Year 年	Month 月	Day 日
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BOOM Account No.
 BOOM 帳戶號碼

Part I. Basic Information Amendment 更新基本資料

A. Update Company's Information 更新公司資料

1. Company Name¹ 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. No. of Employees 職員人數
9. 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

Note 注意:

¹ If changed, please provide related supporting information. 如曾經更改, 請提供有關公司註冊或登記文件。

B. Update Corporate Structure 更新公司結構

10. 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 \$

**11. 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)
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C. Renew the Ultimate Beneficiary Declaration 更新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。

12. Are all the shares of the Company held by Individual Shareholder(s)? 貴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)
<input type="checkbox"/> Attach Organization Chart showing the Company's latest shareholding (ownership) structure. 附上「組織架構圖」以顯示貴公司最新的股份（擁有權）結構。	

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

Individual Shareholder(s) of the Company and the Ultimate Holding Company 持有貴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 ² 直接持有帳戶實益	Held Shares as Nominee ³ 以代理人身份 ³ 持有	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
	Page No. 第 頁	% = % + %				Page No. 第 頁
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	Page No. 第 頁	% = % + %				Page No. 第 頁
	Page No. 第 頁	% = % + %				Page No. 第 頁
Total 共 <input style="width: 50px; height: 20px;" type="text"/> Person 人		<input style="width: 50px; height: 20px; border: 2px solid black;" type="text" value="100 %"/>			Total 共 <input style="width: 50px; height: 20px;" type="text"/> Person 人	

Note 注意：

- 2 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。
- 3 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。

Part II. Update Related Person(s) Information 更新關聯人士資料

A. Key Person(s) 主要人士

14. 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

15. Particulars of Key Person(s)
主要人士的資料
- Please fill-in the latest information of EACH of the Key Person(s) at "Section A: Update Particulars of Key Person(s)". Please make extra copies of Section A if necessary.
請於「甲部：更新主要人士資料」填寫每位主要人士的最新資料。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

Part III. Contact Information Amendment 更新帳戶聯絡資料

A. New Contact Details 新聯絡資料

16. 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)		
17. Telephone No. 電話號碼	+	-	18. Fax No. 傳真號碼	+	-
19. Email ⁴ 電郵地址	(Use for all major account communications 用作帳戶所有主要聯繫)				
20. Correspondence Address ⁵ 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		

Note 注意：

⁴ 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。

⁵ 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。

B. Change of Account Statements Preference 更改帳戶結單偏好設定

21. Preferred Communication Language
主要通訊語言

English 英文 Chinese 中文

22. Delivery of Transaction Records^{6 7 8}
交易紀錄的傳送

Send to the Registered Email (See Part 19) or Correspondence Address (See Part 20)
發送到 登記電郵地址 (見第 19 項) 或 通訊地址 (見第 20 項)

Daily Activity Statements 日結單

Send by email 以電郵傳送
 Send by post 以郵遞傳送

Monthly Activity Statements 月結單

Send by email 以電郵傳送
 Send by post 以郵遞傳送
(Handling Fee HKD 10) (行政費港幣 10 元)

Note 注意：

⁶ 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。

⁷ 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。您可隨時經網上查詢日結單及月結單。

⁸ If your email is undeliverable, we 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您的電郵帳戶，我們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。

Part IV. Other Updates 其他更新

A. Update Investment & Customer Profile 更新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. 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。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。

23. 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 |

24. 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 |
|----------------------------------|----------------------------------|----------------------------------|---------------------------------------|

25. 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 |
|----------------------------------|----------------------------------|----------------------------------|---------------------------------------|

26. 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 |

27. 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 | |

28. 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。

29. Source of Funds / Wealth 9 資金 / 財富來源

(Supporting Info might be requested) (可能需要提供附加資料)

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

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

32. 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	Volume of Transactions (HKD) 交易金額 (以港元為單位)	<input type="text"/>	per annum 按年度
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Note 注意：

9 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。

Client Declaration 客戶聲明

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

By providing information in this form, we agree and authorize BOOM to update relevant account information of ALL BOOM accounts held by the Company (except for Part II and Part III which are only applicable to the BOOM account as indicated on P.1 of this form), with effective from the date stated above. We also undertake to notify BOOM immediately of any changes to the information contained in this form, failing which BOOM is entitled to rely fully on the information and representations given in this form. 在本表格提供資料的同時，本公司同意並授權 BOOM，按本表格所提供的資料，更新 所有 本公司的 BOOM 帳戶資料（Part II 及 Part III 除外，這兩部分只適用於本表格第一頁指定的 BOOM 帳戶），並於上述生效日期生效。同時，如本表格所載資料有任何更改，本公司承諾立即通知 BOOM，否則 BOOM 有權完全依據本表格提供的資料和陳述。

We agree that any change in circumstances contained in this CDD Form that affects our Corporate Tax Residential Declaration to become incorrect or incomplete (including any change regarding a Controlling Person(s)), we undertake to provide an updated Corporate Tax Residential Declaration within 30 days of this CDD Form. 本公司同意，於此表格中所包含的任何變更導致《公司稅務居民身分聲明書》的內容變得不正確或不完整（包括有關主要人士的任何變更），本公司承諾將在提交此表格後 30 天內提供最新的《公司稅務居民身分聲明書》。

In addition, we understand that if we fail to supply promptly the documentation and information relating our Corporate Tax Residential Declaration or any Controlling Person's tax status/residency status, BOOM may make its own judgment with respect to the Corporation's or Controlling Person's tax status/residency status including whether the Corporation or the relevant Controlling Person is reportable to any tax authority whether in Hong Kong or any other jurisdictions outside Hong Kong. 此外，本公司明白若我們未能及時提供《公司稅務居民身分聲明書》或任何主要人士的稅務 / 居民身份狀況的有關文件和資訊，BOOM 可能會對本公司或主要人士的稅務 / 居民身份狀況（包括本公司或相關主要人士是否應向香港或香港以外的其他司法管轄區的任何稅務機關作出申報）作出自己的判斷。

Account Holder (Corporate Account) 帳戶持有人 (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)

Section A: Update Particulars of Key Person(s) 甲部：更新主要人士資料

(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

- Add (New) 新增人士
 Change Info. 更改資料

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. Primary Residence 主要居留地

(Country 國家)

7. Date of Birth 出生日期

Year 年 Month 月 Day 日

8. Place of Birth 出生地

(Country 國家)

9. 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

10. 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

11. 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 If you are employed by a different SFC registered company, please attach a written consent from your new employer.
如閣下已受聘於新的證監會註冊公司，請提供新僱主的書面同意書。

12. 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. Name 姓名
是，請列明。
Relationship 關係

Contact Details 聯絡資料

13. Home Tel. 住宅電話

+ [] - []

14. Office Tel. 公司電話

+ [] - []

15. Mobile Tel. 手提電話

+ [] - []

16. Email 電郵地址

[]

Part 17 to Part 18 below are ONLY applicable to Ind. Shareholder(s) and Beneficial Owner(s) 以下第 17 至 18 項只適用於個人股東及實益擁有人

Applicable 適用
 Not Applicable 不適用

17. 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. Name 姓名
是，請列明。
BOOM Account Number
BOOM 帳戶號碼

18. 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. Name 姓名
是，請列明。

Part 19 to Part 22 below are ONLY applicable to newly registered Authorized Person(s) 以下第 19 至 22 項只適用於新登記之獲授權人

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。

19. 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

20. Contact Priority 聯絡人次序

Rank 第 [] 位

21. Specimen Signature 簽名樣式

[]

22. 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

**23. 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：

--	--	--	--	--	--	--	--	--	--

**24. What is the country of your tax residency¹⁰ and Taxpayer Identification Number(s)¹¹?
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 ¹² . 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 type="text"/> (Country 國家)	<input type="text"/>	<input type="text"/>
(2) <input type="text"/> (Country 國家)	<input type="text"/>	<input type="text"/>
(3) <input type="text"/> (Country 國家)	<input type="text"/>	<input 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

- 10 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。
- 11 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。
- 12 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 Monex 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 any 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)

25. 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 ¹⁴ , please specify: 家庭成員，請列明： _____ <input type="checkbox"/> Close associate ¹⁵ , 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, please specify: 家庭成員，請列明： _____ <input type="checkbox"/> Close associate, please specify: 關係密切的人，請列明： _____

Note 注意：

13 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。

14 “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。

15 “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程度。

Part 26 to Part 27 below are ONLY applicable to Appointment of Authorized Person(s)

以下第 26 至 27 項只適用於委任獲授權人

Applicable 適用
 Not Applicable 不適用

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

Total Number of Authorized Person
 (after added / changed):
獲授權人總人數 (增加 / 更改後)：

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。

27. 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	<input type="text"/>	No. of Signatures Required 所須簽署	<input type="text"/>
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Special signing arrangement (if any)
 特定簽署安排 (如有)

For Official Use Only
只供本行使用

Documents Handled and Checked by 處理及覆核文件		
All applicable BOOM Account Numbers 所有適用的 BOOM 帳戶號		
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		System Setup by 設定系統
Functional Head 部門主管	Compliance 法規部	Handling Staff 負責職員
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