

ACCOUNT APPLICATION

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- 내 점
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- 파 출

실명확인	담 당	책임자	부점장

Customer Information
Account Number:

Name (English)		ID number or Foreigner ID	Email
Address (Home)		ZIP Code ()	Telephone (Home)
			Cell Phone
Address (Office)		ZIP Code ()	Telephone (Office)
			FAX
Back Office/Balance Statement will be sent to: <input type="checkbox"/> Home <input type="checkbox"/> Office <input type="checkbox"/> HTS <input type="checkbox"/> Email <input type="checkbox"/> Do Not Send		We do not send paper/email reports to you if you choose Home Trading System (HTS). You can check your balance, trade record and account information on HTS.	
Trade Report will be sent to: <input type="checkbox"/> HTS <input type="checkbox"/> Pick-up <input type="checkbox"/> Email <input type="checkbox"/> Do Not Send		Other Mailing will be delivered to: <input type="checkbox"/> Home <input type="checkbox"/> Office	
Asset Management Report will be sent to: <input type="checkbox"/> Home <input type="checkbox"/> Office <input type="checkbox"/> Do Not Send		Fund Balance Report will be sent by: Mail (<input type="checkbox"/> Home <input type="checkbox"/> Office) <input type="checkbox"/> SMS <input type="checkbox"/> Do Not Send	
Interest Tax <input type="checkbox"/> Individual <input type="checkbox"/> Taxable Institution <input type="checkbox"/> Tax-Exempt Institution		Withholding Tax Collection <input type="checkbox"/> Yes <input type="checkbox"/> No	
Dividend Tax <input type="checkbox"/> Taxable <input type="checkbox"/> Tax-Exempt		Transaction Tax <input type="checkbox"/> Taxable <input type="checkbox"/> Tax-Exempt	

Foreigner

English Name	Sex <input type="checkbox"/> Male <input type="checkbox"/> Female	Nationality	Residence in Korea <input type="checkbox"/> Yes <input type="checkbox"/> No
			Country of Residence
Classification <input type="checkbox"/> Non-Resident Alien <input type="checkbox"/> Resident Alien <input type="checkbox"/> National Treatment		Investment Type <input type="checkbox"/> Equity <input type="checkbox"/> Bond <input type="checkbox"/> Both	Currency <input type="checkbox"/> KRW <input type="checkbox"/> Foreign Currency

Power of Attorney / Proxy Trading Confirmation

Proxy Name	Korean Resident ID	Passport Number	Nationality	Relationship to Principal
Address		Telephone	Cell Phone	Email
Extent of Proxy	<input type="checkbox"/> Opening an Account <input type="checkbox"/> Customer Due Diligence Information <input type="checkbox"/> Bank Transfer/Withdrawal <input type="checkbox"/> Issuance of an OTP <input type="checkbox"/> Inter-Account Transfer <input type="checkbox"/> Trading <input type="checkbox"/> Fund Trading <input type="checkbox"/> Standing Proxy <input type="checkbox"/> Legal Representative <input type="checkbox"/> Other ()			
I hereby authorize the above proxy to act on my behalf within the extent of power specified above.				
Client Name				Signature

Additional Information for Institutional Clients

Purpose of Establishment (Non-Profit Only)	<input type="checkbox"/> Academic <input type="checkbox"/> Religion <input type="checkbox"/> Charity <input type="checkbox"/> Arts <input type="checkbox"/> Social <input type="checkbox"/> Other ()			
Representative Name			Representative ID	
Representative Address			Representative Contact Number	

☞ You need to submit the above information in order to trade with a financial institution in Korea, as required by the Act on the Report and Use of Specific Financial Transaction Information. Submitted information will not be used other than the purpose of use specified in the said Act.

Account Opening Details

<input type="checkbox"/> Brokerage		Margin	<input type="checkbox"/> Required <input type="checkbox"/> Not Required (For institutional clients) <input type="checkbox"/> Cash Only			
		Special Note	<input type="checkbox"/> Own Equity <input type="checkbox"/> Forward orders to non-members <input type="checkbox"/> Others			
<input type="checkbox"/> RP		Agreement to trade Repurchase Agreement (RP)		Client Name	Signature	
		<input type="checkbox"/> I agree	<p>RP trades marketable securities that are rated higher than BBB and may replace one security to another among the RP investment grade securities. Market value of the said marketable securities will remain above the 100/105 of repurchase value.</p> <p>I agree these conditions will be applied categorically to the current and future RP transactions.</p>			
		<input type="checkbox"/> I agree	<p>BS Securities maintain the transparency of RP transaction through the RP trade system of the Korea Securities Depository. You can check your RP transaction information including a trade record, debt securities held as a collateral, etc, when you visit our office, call us, or log in to the Home Trading System.</p> <p>Regarding the above, I agree not to receive a trade report regarding all RP trades.</p>			
<input type="checkbox"/> Derivatives	<input type="checkbox"/> KRX	Substitute Securities	I agree that BS Securities will provide the substitute securities I deposit currently or in the future to an exchange as collateral for trading.			
	<input type="checkbox"/> Overseas		Linked Account	Client Signature		
	<input type="checkbox"/> FX Margin	Option Purchase Only	<input type="checkbox"/> Yes <input type="checkbox"/> No	Margin Type	<input type="checkbox"/> Premargin <input type="checkbox"/> Postmargin	
<input type="checkbox"/> Beneficiary Certificate		Instrument				
		Investment Method	<input type="checkbox"/> Discretionary <input type="checkbox"/> Deferred <input type="checkbox"/> Fixed Installment <input type="checkbox"/> Free Installment			
		Investment Type	<input type="checkbox"/> Derivatives <input type="checkbox"/> Securities <input type="checkbox"/> Mixed <input type="checkbox"/> Debt Securities <input type="checkbox"/> MMF <input type="checkbox"/> Special Asset Investment Trust <input type="checkbox"/> Real Estate Investment Trust <input type="checkbox"/> Others ()			
		Monthly Installment	KRW	Investment	KRW	
		Investment Period	YYYY/MM/DD From _____ to _____ (months)			

Service Agreement

Trade Book	<input type="checkbox"/> Securities Card (<input type="checkbox"/> Busan Bank <input type="checkbox"/> Kookmin Bank <input type="checkbox"/> Do not use bank-linked account) <input type="checkbox"/> Passbook <input type="checkbox"/> OTP I received the above checked trade book. Signature			
Account to link with a bank account	<input type="checkbox"/> Brokerage <input type="checkbox"/> Derivatives <input type="checkbox"/> Collective Investment Fund <input type="checkbox"/> RP <input type="checkbox"/> Others ()			
Electronic Communication Service	<input type="checkbox"/> I use HTS.	Security Assurance <input type="checkbox"/> OTP NO. <input type="checkbox"/> Others ()		
	Registration	User ID (Mix English alphabets and numerals, four to ten digits. Sensitive to upper and lower cases.)		
Maximum Fund Transfer via HTS/Phone	HTS KRW _____ per transfer; _____ per day	Maximum transfer via HTS is 500 million won a time, 1 billion won a day.		
	Phone KRW _____ per transfer; _____ per day	Maximum transfer via phone is 50 billion won.		
SMS Alert	<input type="checkbox"/> Receive all <input type="checkbox"/> Execution message <input type="checkbox"/> Transfer (Credit/Withdrawal) <input type="checkbox"/> Margin call <input type="checkbox"/> Shareholder rights <input type="checkbox"/> Credit expiration <input type="checkbox"/> Account number change <input type="checkbox"/> Financial product transaction (Cell Phone Number)			
CMS Agreement (for regular bank transfer on a specified date)	Bank	Bank Account Holder ID Number	Acc No.	Name of bank Acc
	Transfer Date: <input type="checkbox"/> 5 th <input type="checkbox"/> 15 th <input type="checkbox"/> 25 th day of every month	Transfer Amount KRW	Transfer Date <input type="checkbox"/> 5 th <input type="checkbox"/> 15 th <input type="checkbox"/> 25 th day of every month	Transfer Amount KRW
Inter-Account Transfer	Withdrawal Account Number Name Signature		Credit Account Number Name Signature	
	Amount KRW	Expiration Date (YYYY/MM/DD)		Transfer starts (YYYY/MM)
ELW Trade	ELW Trade Account: <input type="checkbox"/> Securities Brokerage Account <input type="checkbox"/> Others ()			
Foreign Currency Denominated Securities Trade	Trade Account <input type="checkbox"/> Securities <input type="checkbox"/> Derivatives <input type="checkbox"/> Collective Investment <input type="checkbox"/> Others ()			

Compulsory Checkpoints for Derivative Financial Instrument

Basic knowledge of the instrument	<input type="checkbox"/> Checked <input type="checkbox"/> Not checked	Reason why the broker did not check:
License of the broker	Name	License Type
I have checked the mandatory checkpoints for account opening as above.		Derivatives Sales Manager Signature

Risk Disclosure of System Trading and Day Trading

“System Trading Program” refers to a computer software that provides an investor with decision-making information on what financial investment product to trade, when to place an order, at what price to trade, or even automatically places the trade itself, based on a list of previously programmed rules, regardless of the decision of the investor. Although the investor may program certain rules into the system based on his or her decision, that software is still rendered as a system trading program, as long as the rules provided by the software are limited and those rules include certain theory of price trend in the price of securities or derivative contracts associated with marketable securities.

You must consider the following points before you request system trading service:

- The trading program does not necessarily guarantee investment profit. Historical investment returns achieved by the said program do not guarantee future investment returns of the program. Technical indices or price anticipation mechanisms built into the program cannot accurately anticipate future market changes. Please heed well that system-trading does not promise your profit.
- You may incur substantial financial loss, for which you alone will be accountable, if you participate in system-trading without a proper understanding of the trading mechanism. To use the system trading service, you should have ample knowledge of financial investment products, financial markets, trading techniques, and trading strategies. You must also be familiar with the trading program in detail. Therefore, we advise you to received advance training from us before you use the system trading program.
- System-trading may trigger excessive transactions. Excessive transactions may impose a significant amount of brokerage fees as well as related tax that will aggrandize your loss or reduce your profit considerably.
- A sudden change in the market or an error in a computer network may delay market data feed or order execution and cause a rejection of orders or other disruptions in the system’s operation.
- You should make sure that you specified correctly the trading parameters such as the time to buy or sell and the price to trade. You may incur substantial trading loss at your responsibility, as a result of your mistake or mishandling of system operation. Please take caution.

“Day-trading” refers to the type of trading that intends to reap profit from the price difference of a financial instrument within a day, by means of buying and selling, or selling and buying, the same financial investment product in the same trading day.

You must consider the following points before participating in day-trading.

- Day-trading is extremely risky. It is not suitable for the customers who do not have substantial investment experience or those who prefer low-risk financial investment products. Additionally, you may lose the investment principal entirely. Therefore, we strongly advise you not to conduct day-trading with pension fund, loan, moneys for education or housing, and other funds for daily means of living.
- You must take with caution the advertisements or articles that promise high profits from day-trading. Day-trading can cause you severe financial losses within a short period of time.
- Day-trading requires proficient knowledge and experience in financial instruments, trading techniques, and trading strategies. You will compete with highly experienced and knowledgeable experts in order to make profits through day-trading.
- You should be familiar with the order and execution system of a financial investment company, settlement procedures, and market risk, etc. In the event of abrupt price changes in a financial instrument due to a sudden change in market conditions, any news, or a peculiar trading practice, you may sustain severe losses, as you may not be able to trade at an expected price. Also, you may encounter more problems in completing orders, as price volatility of the instrument increases.
- Day traders must watch the market continuously and this consumes much time. Thus, day-trading is not suitable for the customers who have other full-time priorities at work or study, such as full-time employees, business owners, and students.
- Day traders must pay a considerable amount of fees, commissions and taxes. Excessive trades within a day will generate a large amount of fees and commissions, which may substantially add to your loss or decrease your profit.

I certify that I have been fully explained of the risk accompanied with system-trading and day-trading.

Account Number	ID Number	Client Name Signature
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Confirm the relevant terms and conditions below.

<input type="checkbox"/> For Account Opening and Other Services	<p>The business relationship between the client and BS Securities shall be governed by the standard terms and conditions for general trading. In order to trade products through the KRX, I agree with the Standard Terms & Conditions for Setting Trading Accounts. In order to utilize any additional services, I understand and approve the Standard Terms & Conditions for Use of Communication Services and the Standard Terms & Conditions for Bank Transfer Services. I agree to allow my orders via telephone to be recorded. I understand that trading the same product excessively during one day may result in a loss and I am to be held responsible.</p> <p>I have received and been guided through the Risk Disclosure of Day-Trading and Online Trading, Risk Disclosure of Trading Marketable Securities. I hereby state that I understand and approve of its contents.</p>
<input type="checkbox"/> For ELW Trading	<p>I have been guided through the process and risks of trading ELWs. I understand the risk involved and will trade with sound practical judgment.</p>
<input type="checkbox"/> For Certified Public ID Authentication Service	<p>I have received and approved the terms and conditions of using the certified public ID authentication service by Sign Korea. I agree to provide them my information for the service and apply to use the ID authentication service of Sign Korea.</p>
<p>I have received and been guided through the terms and conditions of this particular product and hereby state that I approve of its contents and apply to open an account.</p> <p style="text-align: right;">Client Name _____ Signature _____</p>	

Chop	Signature

투자정보확인서 또는 투자확인서 상담직원	파생금융상품 영업관리자
(인/서명)	(인/서명)
유선접수자 (성명)	유선접수시간
통화내용 <input type="checkbox"/> 영업직원 실명확인 <input type="checkbox"/> 이체/대체 약정확인 <input type="checkbox"/> 기타	
OTP <input type="checkbox"/> 신규발급 <input type="checkbox"/> 이용등록 (발급회사명: _____)	OTP 일련번호
<input type="checkbox"/> 재발급 <input type="checkbox"/> OTP 개인사업자등록번호 (_____)	

