

Addendum to Client's Agreements and Risk Disclosure Statements

The following clause is amended in the manner stated below.

Original clause item	Revised clause item	Amendment (Newly added content will be underlined, and deleted content will be crossed)
N/A	SUITABILITY AND RISK DISCLOSURE (page 14)	<p>A new sub-clause is added to "SUITABILITY AND RISK DISCLOSURE":</p> <p><u>"11.4 If BOCOM is acting as an execution broker¹, BOCOM shall have agreed or have made arrangements to agree in writing the following arrangements with the Client's designated Investment Adviser, Asset Manager or equivalent (collectively known as the "IA or AM") as soon as BOCOM is being informed by the Client that such IA or AM is being authorized by the Client to place orders on his/her behalf:</u></p> <p>(i) <u>in respect of the IA or AM which is a regulated entity in the overseas jurisdiction, the IA or AM is responsible for complying with the applicable requirements of the overseas jurisdiction before transmitting the Client's order to be executed; or</u></p> <p>(ii) <u>in respect of the IA or AM which is licensed by or registered with the SFC, the IA or AM is responsible for ensuring the suitability of a transaction in a complex product for the Client and providing sufficient product information and warning statements in respect of the complex product to the Client before transmitting the Client's</u></p>

¹ an execution broker merely provides order execution and custody services to the Client and has no day-to-day contact or direct communication with the Client (e.g. the execution broker does not do any of the following: advises on the Client's trades, manages the Client's investment portfolio, handles the Client's enquiries on complex products or the Client's requests to trade complex products).

		<p><u>order to be executed; and</u></p> <p>(iii) <u>BOCOM is not responsible for ensuring suitability of the order transmitted by the IA or AM or providing product information and warning statements to the Client.”</u></p>
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