

## Declaration and Signature Page - For Individual & Joint Account

### 聲明及簽署頁 - 個人及聯名賬戶適用

**To: China Galaxy International Securities (Hong Kong) Co., Limited**  
 (“Galaxy International Securities”)  
 致: 中國銀河國際證券(香港)有限公司 (「銀河國際證券」)  
 CE No. / 證監會中央編號: AXM 459

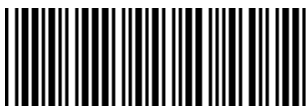
**China Galaxy International Futures (Hong Kong) Co., Limited**  
 (“Galaxy International Futures”)  
 中國銀河國際期貨(香港)有限公司 (「銀河國際期貨」)  
 CE No. / 證監會中央編號: AYH 772

Account Name 客戶名稱:          AE Code 客戶主任編號:	Securities Cash A/C No. 證券現金賬戶編號: _____  Securities Margin A/C No. 證券孖展賬戶編號: _____  Futures A/C No. 期貨賬戶編號: _____  Stock Options A/C No. 股票期權賬戶編號: _____
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I/We hereby request to open the following trading accounts (please tick where applicable):  
 本人(等)特此申請開立以下交易賬戶(請適當地方勾選):

<b>With Galaxy International Securities</b> 於銀河國際證券	<input type="checkbox"/> Securities Cash Account 證券現金賬戶	<input type="checkbox"/> Securities Margin Account 證券孖展賬戶	<input type="checkbox"/> Stock Options Account 股票期權賬戶
<b>With Galaxy International Futures</b> 於銀河國際期貨	<input type="checkbox"/> Futures Account 期貨賬戶		
Type of Accounts 賬戶類別	<input type="checkbox"/> Individual Account 個人戶口	<input type="checkbox"/> Joint Account 聯名戶口 <b>Joint Account Holders should complete part 1 &amp; 2 in this form respectively.</b> 聯名賬戶持有人須分別填寫本表格第一至第二部份	

- I/We confirm that I/we have received, read and understood the terms and conditions for securities cash trading account and/or securities margin trading account and/or futures trading account and/or stock options trading account and the appendices applicable to me/us (“Agreement”), and I/we hereby accept and agree to be bound by the them.  
 本人(等) 確認已閱讀及明白有關之證券現金交易賬戶及/或證券孖展交易賬戶及/或期貨交易賬戶及/或股票期權交易賬戶協議書及其附錄(“協議書”), 而本人(等)接納並同意受該等條款約束。
- Galaxy International Securities and/or Galaxy International Futures may amend the terms and conditions of the Agreement(s) from time to time by giving me/us notice of such amendment. Unless Galaxy International Securities and/or Galaxy International Futures has received my/our request to close the account, if I/we continue to use the account I/we shall be deemed to have accepted such changes.  
 銀河國際證券及/或銀河國際期貨有權不時更改協議書之條款, 並向本人(等)發出通知, 除非銀河國際證券及/或銀河國際期貨收到本人取消戶口通知, 否則表示本人(等)接納該更改條款。
- I/We hereby authorize Galaxy International Securities and/or Galaxy International Futures and the bank(s) mentioned in this document to verify and exchange the information contained in this document and such other information relating to my/our personal particulars, my/our bank account(s) in the bank(s) mentioned in this form between Galaxy International Securities and/or Galaxy International Futures and such other third parties as Galaxy International Securities and/or Galaxy International Futures may deem appropriate for the purpose of approving my/our application and for such other purposes as long as I/we shall remain an accounts with Galaxy International Securities and/or Galaxy International Futures.  
 本人(等)謹此授權銀河國際證券及/或銀河國際期貨及此開戶文件提及之銀行相互及向合適第三者查證及交換此開戶文件上之資料和其他關於本人/吾等之個人資料、本人(等)之銀行賬戶, 以作核實開戶申請及其他目的如本人(等)仍為閣下的客戶。
- I/We confirm that I am/ we are acting for my/ our own account and as principal in relation to each transaction entered into with Galaxy International Securities and/or Galaxy International Futures and I/ we shall also be the beneficiary of any of the transaction entered into with Galaxy International Securities and/or Galaxy International Futures as the case may be.  
 本人(等)確認本人(等)本身之賬戶及以當事人身份與銀河國際證券及/或銀河國際期貨訂立每一項交易, 本人(等)亦為所有本人(等)與銀河國際證券及/或銀河國際期貨(視情況而定)訂立有關交易之受益人。



5. I/We confirm that the information given in the Account Application Form is true, correct and complete, and authorize Galaxy International Securities and/or Galaxy International Futures as the case may be to confirm and verify this from any source Galaxy International Securities and/or Galaxy International Futures consider appropriate, including the conduct of any credit checks on me/us. Galaxy International Securities and/or Galaxy International Futures is entitled to rely fully on such information and representations for all purposes, unless Galaxy International Securities and/or Galaxy International Futures receive notice in writing of any change. I/We confirm and undertake that I/we will update Galaxy International Securities and/or Galaxy International Futures immediately on any changes.  
 本人(等)確認在賬戶申請表中所提供的資料乃屬真實，正確及完整，並授權銀河國際證券及/或銀河國際期貨可向任何方面確定和查證。除非銀河國際證券及/或銀河國際期貨(視情況而定)收到任何客戶資料改變的書面通知，銀河國際證券及/或銀河國際期貨將有權依據這些資料，作任何用途或目的。本人(等)確認及承諾如所提供之資料有任何更改，均會立刻通知銀河國際證券及/或銀河國際期貨。
6. I/We hereby certify, declare and acknowledge that I/we have fully understood the risk disclosure statements in the language of my/our choice (English or Chinese). I/We was/ were invited to read the risk disclosure statements, and to ask questions and take independent advice if I/We so wished.  
 本人(等)現聲明及確認已獲得提供按照本人(等)選擇的語言(英文或中文)之風險披露聲明書，本人(等)已獲邀閱讀此風險披露聲明，並按照本人(等)意願提出問題及徵求獨立意見。
7. I/We have read the (Notes Relating to the Personal Data (Privacy) Ordinance of Hong Kong) (as contained in the agreement), understood and agree to them.  
 本人(等)已閱讀及同意給予客戶載於協議書內有關香港個人資料(私隱)條例之附註。
8. I/We understand that the account is subject to final acceptance of Galaxy International Securities and/or Galaxy International Futures as the case may be.  
 本人(等)明白銀河國際證券及/或銀河國際期貨(視情況而定)有最終接納開戶與否之權利。
9. I/We certify that the information provided in the Self-Certification Form(s) annexed to this account opening form regarding my/our FATCA and CRS status are true, accurate and complete.  
 本人(等)聲明隨此賬戶申請書附上關於本人(等)的 FATCA 及 CRS 狀況自我證明表格的資料均屬真實、準確及完整。

Signature and Signing Arrangement 簽署及簽署安排	
<p><b>Specimen Signature 簽署式樣</b></p> <p>X </p> <p>Signature of Account Holder 賬戶持有人簽署</p> <p>Name 姓名: Date 日期:</p>	<p><i>For Joint Account only 只適用於聯名戶口:</i></p> <p><b>Specimen Signature 簽署式樣</b></p> <p>X</p> <p>Signature of Alternate Account Holder 賬戶持有人簽署</p> <p>Name 姓名: Date 日期:</p>
<p><b>***For Joint Account only 只適用於聯名戶口:</b>            Any _____ of the above signatures will be valid 上述任何 _____ 名人仕簽名有效</p>	
<p>Accepted by            For and on behalf of <b>China Galaxy International Securities(Hong Kong) Co., Limited and/or China Galaxy International Futures (Hong Kong) Co., Limited</b>            由 中國銀河國際證券(香港)有限公司及/或中國銀河國際期貨(香港)有限公司 接納</p>	
<p>_____            Authorized Signature 授權簽名</p>	

# ACCOUNT APPLICATION FORM 賬戶申請表 – For Individual & Joint Account 個人及聯名賬戶適用

Note 注意: Please complete in Block Letters and tick where applicable. 請用正楷填寫，並在適當地方勾選。

## Part 1: Client Information

### 第一部份：客戶資料

1.1 Personal Information of Account Holder 賬戶持有人個人資料			
Name in English (Surname First) as per your ID Card/Passport 英文姓名 (先寫姓氏)，姓名必須與閣下的身份證/護照的紀錄相符：			Name in Chinese 中文姓名：
ID Card/Passport No. 身份證/護照號碼：(Please enclose copy 請附副本)		Issuing Country 簽發國家：	Nationality 國籍：
Date of Birth 出生日期： ____/____/____ (yyyy 年) (mm 月) (dd 日)	Place of Birth 出生地：	Gender 性別： <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女	Marital Status 婚姻狀況： <input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 離婚 <input type="checkbox"/> Widowed 喪偶
Permanent Residence Address 永久居住地址 (No P.O. Box 不接受郵政信箱)：  (Postal Code 郵編: _____)			Country of Residence 居住國家：
Correspondence Address 通訊位址：	<input type="checkbox"/> Permanent Residence Address 永久居住地址 <input type="checkbox"/> Office Address 辦事處地址 <input type="checkbox"/> Others 其他 _____ (Postal Code 郵編: _____)		
Email 電郵：			
(Country Code) Home Tel. No.: (國家區號) 住宅電話號碼：		(Country Code) Office Tel. No.: (國家區號) 辦事處電話號碼：	
(Country Code) Mobile Phone No.: (國家區號) 手提電話號碼：		(Country Code) Fax No.: (國家區號) 傳真號碼：	
<b>Electronic Trading Service(s) for Securities Cash/ Securities Margin/ Futures/ Stock Options Account(s)? (Please delete as appropriate)</b> 選用電子交易服務於證券現金/ 證券孖展/ 期貨/ 股票期權 賬戶?(請刪去不適用者)			<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
*Trading Password will be sent to the registered account correspondences email address *交易密碼將發送到賬戶通訊登記電郵地址			
<b>Deliver account correspondences (including but not limited to combined statements, contract notes and corporate action notes)</b> 賬戶通訊 (包括但不限於綜合結單, 成交單據及公司動向通知書): (Choose one only 只可選其一)			
<input type="checkbox"/> By mail to correspondence address 郵寄至通訊位址 <input type="checkbox"/> By Internet to the above email address 以互聯網送至以上電郵地址			
<b>Residential Information 住處資料：</b> <input type="checkbox"/> With Family 與家人同住 <input type="checkbox"/> Owned 自置 <input type="checkbox"/> Rented-private 租用私人樓宇 <input type="checkbox"/> Rented-public 租用公共房屋 <input type="checkbox"/> Quarters 宿舍 <input type="checkbox"/> Mortgage 按揭貸款 <input type="checkbox"/> Others 其他 (please indicate 請注明) _____			
<b>Year(s) at Present Address 居住年期</b> <input type="checkbox"/> 1-5 years 年 <input type="checkbox"/> 5-10 years 年 <input type="checkbox"/> over 10 years 超過 10 年		<b>Language selection for statements 結單語言選擇：(Choose one only 只可選其一)</b> <input type="checkbox"/> 繁體中文 <input type="checkbox"/> 簡體中文 <input type="checkbox"/> English	
<b>Employment Details 就業情況：</b> <input type="checkbox"/> Self-employed/owner 自雇/僱主 <input type="checkbox"/> Employee 僱員 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Unemployed 無業 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Others 其他 _____			
Name of Employer 客戶受雇/自雇公司名稱		Position 職位	Year of Service 服務年期
Office Address 公司地址  (Postal Code 郵編: _____)			
Employer/Occupation Industry (please select one) 僱主/職業行業(只選一項):			
<input type="checkbox"/> Agriculture 農業	<input type="checkbox"/> Finance 金融	<input type="checkbox"/> Leisure/Entertainment/Culture 康樂/娛樂業/文化	<input type="checkbox"/> Real Estate Development 房地產開發
<input type="checkbox"/> Art Piecework Trading 藝術品/古董買賣	<input type="checkbox"/> Food and Beverage 飲食業	<input type="checkbox"/> Logistics 物流業	<input type="checkbox"/> Retail 零售
<input type="checkbox"/> Beauty/Healthcare Service 美容/保健服務	<input type="checkbox"/> Foreign Consulate Embassy 外國領事館	<input type="checkbox"/> Manufacturing 製造業	<input type="checkbox"/> Trading/Wholesales 貿易/批發
<input type="checkbox"/> Business Services 商業服務	<input type="checkbox"/> Gambling 博彩業	<input type="checkbox"/> Media/Marketing 媒體/市場營銷	<input type="checkbox"/> Transportation 運輸
<input type="checkbox"/> Communications 通訊	<input type="checkbox"/> Gems/Precious Metals/ Jewellery Trading 寶石/貴金屬/珠寶買賣	<input type="checkbox"/> Medical 醫療	<input type="checkbox"/> Utilities 公共事業
<input type="checkbox"/> Construction 建造	<input type="checkbox"/> Hotels/Travel 酒店/旅遊業	<input type="checkbox"/> Money Exchange/Remittance 貨幣兌換/匯款	<input type="checkbox"/> Weapon/Military Industry 軍火/軍工
<input type="checkbox"/> Education 教育	<input type="checkbox"/> Information Technology 資訊科技	<input type="checkbox"/> Non-profit organization 非牟利機構	<input type="checkbox"/> Others (please state) 其他(請注明): _____
<input type="checkbox"/> Engineering 工程	<input type="checkbox"/> Insurance 保險	<input type="checkbox"/> Pawnshop 當舖業	
<input type="checkbox"/> Employee of Financial Regulators/ ICAC/similar authority 金融監管機構/廉署/同類機構的僱員	<input type="checkbox"/> Legal 法律	<input type="checkbox"/> Real Estate Agent 房地產經紀	

## Part 2: Individual/Joint Account Holders Financial Summary

### 第二部份：個人/聯名賬戶持有人財務資料摘要

The items below represent the incomes and assets **solely owned** by the account holder:

以下資料代表賬戶持有人**獨立擁有**之收入及資產:

<b>Source of Investment funds</b> 投資資金來源 The source of initial and expected deposits to China Galaxy International for investment 初始存入及預期存入中國銀河國際以作投資的資金來源	<input type="checkbox"/> Salary 薪金/工資	<input type="checkbox"/> Savings 儲蓄	<input type="checkbox"/> Business Profit 業務溢利		
	<input type="checkbox"/> Pension 退休金	<input type="checkbox"/> Return on investment 投資回報	<input type="checkbox"/> Rent 租金		
	<input type="checkbox"/> Commission 佣金	<input type="checkbox"/> Inheritance 繼承 / Gift 饋贈	<input type="checkbox"/> Household Income 家用		
	<input type="checkbox"/> Others 其他 _____				
<b>Annual Income (HK\$)</b> 每年收入(港元)	<input type="checkbox"/> Below 低於 200,000	<input type="checkbox"/> 200,001 – 500,000	<input type="checkbox"/> 500,001 – 1,000,000	<input type="checkbox"/> 1,000,001 – 5,000,000	<input type="checkbox"/> Above 高於 5,000,000
<b>Asset Type</b> 資產類別	<input type="checkbox"/> Land and Property 房地產		<input type="checkbox"/> Vehicle(s) 車輛		<input type="checkbox"/> Cash 現金 / Deposit 存款
	<input type="checkbox"/> Company Shares 公司股份		<input type="checkbox"/> Listed Stocks 上市股票		<input type="checkbox"/> Foreign Exchange 外匯
	<input type="checkbox"/> Funds 基金		<input type="checkbox"/> Bonds / Debentures 債券		<input type="checkbox"/> Precious Metal 貴金屬
	<input type="checkbox"/> Inheritance 遺產		<input type="checkbox"/> Others 其他 _____		
<b>Total Net Worth (Approx. HK\$)</b> 總資產淨值 (約港元)	<input type="checkbox"/> Below 低於 1,000,000	<input type="checkbox"/> 1,000,001 – 5,000,000	<input type="checkbox"/> 5,000,001 – 10,000,000	<input type="checkbox"/> 10,000,001 – 30,000,000	<input type="checkbox"/> Above 高於 30,000,000
<b>Liquid Net Worth - excluded property, automobile and insurance (Approx. HK\$)</b> 估計流動資產淨值 - 不包括物業、汽車及保險 (約港元)	<input type="checkbox"/> Below 低於 500,000	<input type="checkbox"/> 500,001 – 1,000,000	<input type="checkbox"/> 1,000,001 – 5,000,000	<input type="checkbox"/> 5,000,001 – 10,000,000	<input type="checkbox"/> Above 高於 10,000,000 Approx. 約 HK\$ _____
<b>Estimated Investment Amount (HK\$)</b> 估計投資金額 (港元)	<input type="checkbox"/> Below 低於 500,000	<input type="checkbox"/> 500,001 – 1,000,000	<input type="checkbox"/> 1,000,001 – 5,000,000	<input type="checkbox"/> 5,000,001 – 10,000,000	<input type="checkbox"/> Above 高於 10,000,000
<b>Average Investment Amount Per Year (HK\$)</b> 每年平均投資金額 (港元)	<input type="checkbox"/> Below 低於 500,000	<input type="checkbox"/> 500,001 – 1,000,000	<input type="checkbox"/> 1,000,001 – 5,000,000	<input type="checkbox"/> 5,000,001 – 10,000,000	<input type="checkbox"/> Above 高於 10,000,000
Have the client ever been bankrupted, or served with a bankruptcy petition? 客戶是否曾經破產或被送達要將客戶破產的呈請?			<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是 If yes, please provide the date and details 如是，請提供日期及詳情: _____		
Will the client invest in Over-The-Counter (“OTC”) products? 客戶是否會投資場外交易產品?			<input type="checkbox"/> Yes 會 <input type="checkbox"/> No 不會		

## Part 3: Client Standing Settlement Bank Account

### 第三部份：客戶常設交收銀行戶口

(The Bank Account Name must be the same as Client's name 銀行賬戶名稱須與客戶名稱相符)

<b>3.1 Bank Account Information for Account Holder 賬戶持有人銀行賬戶資料</b>	
Bank Name 銀行名稱:	Bank Account No 銀行賬戶號碼:
Bank Account Name 銀行賬戶名稱:	Country of Receiving Bank 收款銀行所在地:
Account Type/Currency 賬戶類別/貨幣:	
<input type="checkbox"/> HKD 港幣賬戶 <input type="checkbox"/> USD 美金賬戶 <input type="checkbox"/> Multi-Currency 綜合賬戶 <input type="checkbox"/> Others 其他 _____	
Bank Address 銀行地址: (If applicable 如適用)	CCASS Investor A/C 中央結算投資者戶口: (If applicable 如適用)

## Part 4: Ultimate Beneficial Owner of the Account

### 第四部份：賬戶最終實益擁有人

4.1 Is the client the person ultimately benefits from and/or bears the risks of any transactions under this account? 客戶是否此賬戶所有交易的最終受益及/或承擔風險人士?

Yes 是

No. Please provide below details with supporting documents:- 否。請提供相關資料及附上有關檔:-

Name 姓名:

Phone No. and Address 電話及位址:

Identity Card/ Passport number 身份證/ 護照號碼:

Identity Card/ Passport Issuing Country 身份證 / 護照簽發國家:

Relationship with the client and reasons (if any) 與客戶的關係及原因 (如有):

## Part 5: Related Account(s)

### 第五部份：關連賬戶

- 5.1 Is the client an employee of or related to any employee or director of **Galaxy International Group**?  
客戶是否銀河國際集團之雇員或與銀河國際集團之任何雇員或董事有親屬關係?  
 No 否  Yes, whose name is 是, 其姓名為: \_\_\_\_\_ Relationship 關係: \_\_\_\_\_
- 5.2 Is your spouse or other persons related with you a client of **Galaxy International Group**?  
客戶的配偶或其他與客戶有關連的人士是否銀河國際集團的客戶?  
 No 否  Yes, whose name is 是, 其姓名為: \_\_\_\_\_ (A/C No 賬戶號碼: \_\_\_\_\_) Relationship 關係: \_\_\_\_\_
- 5.3 Are you operating another account in **Galaxy International Group**?  
客戶是否操控另一銀河國際集團賬戶?  
 No 否  Yes, whose name is 是, 其姓名為: \_\_\_\_\_ (A/C No 賬戶號碼: \_\_\_\_\_) Relationship 關係: \_\_\_\_\_
- 5.4 Are you alone or with your spouse control 30% or more of the voting rights of any corporate clients of **Galaxy International Group**?  
客戶是否個人或與配偶共同控制任何銀河國際集團的公司客戶 30% 或以上的投票權?  
 No 否  Yes, the account name is 是, 賬戶名稱為: \_\_\_\_\_ (A/C No 賬戶號碼: \_\_\_\_\_)

## Part 6: Other Disclosure

### 第六部份：其他披露

- 6.1 Is the client or his authorized person a director, an employee or a representative of a Licensed Corporation or Registered Institution registered under the Securities and Futures Commission?  
客戶或其授權人是否證監會持牌法團或註冊機構的董事、雇員或持牌代表?  
 No 否  Yes 是, please provide name of Licensed Corporation/ Registered Institution 請提供持牌法團或註冊機構名稱: \_\_\_\_\_  
\*Please attach a consent letter of account opening from your employer 請附上閣下雇主之開戶同意書
- 6.2 Is the client or his authorized person a director, employee or major shareholder of any listed company?  
客戶或其授權人是否任何上市公司的董事/雇員/大股東?  
 No 否  Yes 是, please provide the name of the listed company and the place of listing 請提供上市公司的名稱和上市地點: \_\_\_\_\_
- 6.3 **Politically Exposed Person 政治人物**  
Is the client and/or its authorized persons, their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been entrusted with a prominent public function in any place (which shall include a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official); or has been entrusted with a prominent function by an international organization (which shall include members of senior management, i.e. directors, deputy directors and members of the board or equivalent functions)?  
客戶及/或其授權人、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否或曾在任何地方擔任或曾擔任重要的公職(包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事); 或是否或曾經在任何國際組織擔任重要的職位(包括高級管理層, 即董事會的董事、副董事及成員或對等職位)?  
 No 否  Yes 是  
**If Yes, please provide 如是, 請提供資料如下:**  
Name of the politically exposed person 政治人物的名稱: \_\_\_\_\_  
Place and public function/function of an international organization entrusted with 地方及所擔任的公職/所擔任的國際組織職位: \_\_\_\_\_  
Term of the public function/function of an international organization entrusted with 所擔任的公職或職位的年期: \_\_\_\_\_  
Relationship with the client 與客戶之關係: \_\_\_\_\_

## Part 7: Use of Personal Data in Direct Marketing

### 第七部份：使用個人資料作直接促銷

I/We have read and understand the (Notes Relating to the Personal Data (Privacy) Ordinance of Hong Kong) and/or (if applicable) (General Data Protection Regulation) (as contained in the agreement), and understand that my/our personal data may be provided to Galaxy International Securities and/or Galaxy International Futures and/or any member of Galaxy International Group for the use in direct marketing of the classes of products, services and/or subjects as set out in part J of the agreement. I/we hereby exercise my/our right of consent to and Opt-out from Direct Marketing Activities as follows:-

本人(等)已閱讀及明白給予客戶載於賬戶協議書內發部有關香港個人資料(私隱)條例及/或(如適用)通用資料保障條例之附註, 本人(等)明白本人(等)的個人資料可能會提供給銀河國際證券及/或銀河國際期貨及/或任何銀河國際集團成員用於賬戶協議書內發部所列出的產品、服務及/或目標類別的直接促銷。本人(等)現行使本人(等)同意, 及拒絕直接促銷活動的權利如下:

Please tick where applicable 請在適當地方勾選:

- I/We **AGREE** that Galaxy International Securities and/or Galaxy International Futures and/or any member of Galaxy International Group to use my/our personal data in direct marketing via \*mail, E-mail, SMS, fax or personal call.  
本人(等)**同意**銀河國際證券及/或銀河國際期貨使用本人/吾等的個人資料透過\*郵寄、電郵、電話短訊、傳真或專人電話的途徑作直接促銷。
- I/We **DISAGREE** that Galaxy International Securities and/or Galaxy International Futures and/or any member of Galaxy International Group to use my/our personal data in direct marketing via \*mail, E-mail, SMS, fax or personal call.  
本人(等)**不同意**銀河國際證券及/或銀河國際期貨使用本人/吾等的個人資料透過\*郵寄、電郵、電話短訊、傳真或專人電話的途徑作直接促銷。

**Part 8: Personal Information Collection Statement concerning Northbound China Connect Orders**  
**第八部份：中華通北向交易指示的個人資料收集聲明**

Will you participate in Northbound China Connect trading?  
客戶是否參與中華通北向交易?

- No 否
- Yes, I/We would like to participate in Northbound China Connect trading. I/We acknowledge I/We have read and understand the content of Notes Relating to Personal Data Privacy Policy regarding New Investor Identification Regime under Part J, I/We signify my consent for Galaxy International Securities to use my/our personal data on the terms of and for the purposes set out in the Personal Data Privacy Policy and the Appendices.  
是，本人(等)欲申請參與中華通北向交易，並確認本人(等)已經閱讀並瞭解賬戶條款及條件中癸部有關投資者識別字制度的內容。本人(等)同意銀河國際證券可根據有關個人資料私隱政策之附註及附錄及其所述的目的使用本人(等)的個人資料。

**Part 9: Confirmation to Opt-out from Internet Trade Execution Notification**  
**第九部份：不收取網上交易執行通知確認**

By default, clients will receive Internet Trade Execution Notifications for their account(s) maintained with Galaxy International Group.  
銀河國際集團會為客戶預設接收執行網上交易通知。

Please tick where applicable 請在適當地方勾選:

- I/We request to **opt-out** from receiving internet trade execution notification. I/We acknowledge the content of risk disclosures below, and I/We declare I/We understand the risks involved in opt-out from trade execution notifications.  
本人(等)現要求**取消**收取網上交易執行通知。本人(等)確認知悉下述之風險披露內容，並確認明白不收取有關通知所涉及的風險。
- Internet Trade Execution Notification is a monitoring measure implemented by SFC according to Guidelines for Reducing and Mitigating Hacking Risks Associated with Internet Trading. By receiving prompt notification on internet trade execution, clients are able to understand the trading status of their trading accounts as early as possible, in order to detect all potential unauthorized transactions in a timely manner, and take measures to reduce or mitigate hacking risks associated with internet trading, so to protect internet trading account of clients.  
網上交易執行通知是根據香港證監會的《降低及紓減與互聯網交易相關的駭客入侵風險指引》而實行的其中一項監察措施。其目的旨在通過即時收取網上交易通知，讓客戶可儘早瞭解其交易賬戶的交易狀況，及時偵測所有潛在的未經授權交易，從而採取措施降低或紓減與網上交易相關的駭客入侵風險，以保護客戶的網上交易賬戶。
  - Clients choose to opt-out from receiving internet trade execution notification will be exposed to the risk of failing to detect any unauthorized transaction or hacking activity of their trading accounts timely, and may result in losses.  
如客戶選擇取消收取網上交易執行通知，將有機會因未能及時發現其賬戶出現未經授權交易或被駭客入侵，因而可能引致損失。

**Witness Certification (Need not to be signed by client)**  
**見證人核證 (客戶無須簽署此欄)**

*(To be completed where this form is signed before a third party professional or a registered person of Galaxy International Group merely as witness)*  
*(如本表格在第三方專業人士或僅作為核證人員的銀河國際集團註冊人士面前簽署，須填寫此欄)*

To be certified by a person licensed or registered with SFC, an affiliate which is a regulated financial institution of **Galaxy International Group** and professional person (such as practicing certified public accountant, lawyer, notary public or TCSP licensee).  
由香港證監會持牌或註冊之人士、**銀河國際集團**其屬於受規管金融機構的聯繫人士或專業人士 (如、執業會計師、律師、公證人或信託或公司服務持牌人) 核證。

I, named below, hereby certify that I have met and identified each of the person(s) who executed this form before me, and received original of his/their identification document(s).

本人(姓名如下)現核證本人已經與本表格簽署人會晤及核對其身份證明文件正本，他(們)並在本人面前簽署本表格。

 **核證人簽字**

Name 姓名: \_\_\_\_\_ Contact Tel. 聯絡電話: \_\_\_\_\_

Date 日期: \_\_\_\_\_ Contact Address 聯絡地址: \_\_\_\_\_

Profession 職業:  Practicing Certified Public Accountant 執業會計師  Lawyer 律師  Notary Public 公證人  Others 其他 \_\_\_\_\_

(Please provide a copy of the name card or other supporting documents 請提供名片或其他證明文件)

## Declaration by Licensed Representative 持牌代表聲明

<input type="checkbox"/>	<p>I, named below, a registered person of Galaxy International Group, hereby declare that the abovementioned risk disclosure statement(s) and Agreements in relation to** Securities Cash Account / Securities Margin Account/ Futures Account/ Stock Options Account **(<i>delete as appropriate</i>) have been provided to the client in a language of the client's choice (English or Chinese) and has invited the client to read the same, ask questions and take independent advice.</p> <p>本人(姓名見下), 為銀河國際集團的註冊人, 謹此聲明上述之風險披露聲明及有關**證券現金賬戶/證券孖展賬戶/期貨賬戶/股票期權賬戶**(刪去不適用者)之協議書, 已按照客戶選擇的語言(英文/中文)提供, 本人並邀請客戶閱讀該等風險披露聲明及按其意願提出問題及徵求獨立意見。</p>		
<input type="checkbox"/>	<p>I, named below, a registered person of Galaxy International Group, have witness the signature and inspected the original identity documents of the client. 本人(姓名見下), 為銀河國際集團的註冊人, 已見證及驗證客戶之簽署及有關其身份證明文件之正本。</p>		
Name of Licensed Representative 持牌代表名稱		Signature of Licensed Representative 持牌代表簽署	
CE No. 中央編號	License Type 持有牌照		<input type="checkbox"/> 證券 Securities <input type="checkbox"/> 期貨 Futures
Risk Disclosed By 風險披露途徑			
<input type="checkbox"/> Face-to-Face 面對面 <input type="checkbox"/> Telephone 電話 (Recorded Line No. 電話錄音號碼: _____)			
Date 日期: _____		Time 時間: _____	

### For Official Use Only 供內部填寫

#### Mode of Transmission of Account Opening Documents with Customer(s) 與客戶傳送開戶文件的方法:

In-person 親身  Non-face-to-face 非面對面 (such as by email and by post, etc. 例如透過電郵或郵件等)

#### For Securities and Stock Options Transactions 如屬證券買賣及股票期權買賣:

AE Name and AE code 客戶主任姓名及編號		How long known to AE 與客戶主任認識時間	
Market 市場	Commission Rate 佣金率(%)		
	Internet 網上	Phone 電話	
Hong Kong Stock 港股	%, Min	%, Min	
US shares 美股	%, Min	%, Min	
Northbound Trade 北向交易	%, Min	%, Min	
Others 其他	%, Min	%, Min	
Stock Options 股票期權	Commission Rate 佣金率(%)		
	%, Min		

#### For Futures Transactions 如屬期貨買賣:

AE Name and AE code 客戶主任姓名及編號		How long known to AE 與客戶主任認識時間	
Futures / Options Contracts 期貨/期權合約	Day Trade (each way) 即日買賣 (每邊)		Overnight Trade (each way) 正常買賣 (每邊)
Hong Kong Futures (per contract per side) 香港期貨 (每合約每邊)			
Hong Kong Options (per contract per side) 香港期權 (每合約每邊)			
Global Futures/Options (per contract per side) 海外期貨/期權 (每合約每邊)			

#### To be filled by Customer Service Officer (if needed) 由客戶服務主任填寫 (如需要)

Account Holder over 65 years old, confirmed account opening by  Face-to-Face  Telephone

(Staff name and Signature): \_\_\_\_\_ Date: \_\_\_\_\_ Time: \_\_\_\_\_ Ext: \_\_\_\_\_

Special Considerations & Comments 特別考慮因素及意見:	Signature of AE 客戶主任簽名	Document check by: 文件核對經手人:

#### Remarks 備註:

Input by:	Check by:	System approved by	Scan by:

To : China Galaxy International Securities (Hong Kong) Co., Limited  
致 : 中國銀河國際證券(香港)有限公司

**Standing Authority under Securities & Futures (Client Securities) Rules 根據《證券及期貨(客戶證券)規則》所設立的常設授權**

This standing authority is in respect of the treatment (as set out below) of my/our securities or securities collateral held by you in one or more accounts designated as client account(s) or trust account(s) on my /our behalf established and maintained in Hong Kong (the “Client Account(s)”).

本常設授權是有關處置(如下文所載)由貴公司於在香港開設及持有並指定為客戶賬戶或信託賬戶的一個或多個賬戶(「客戶賬戶」)代表本人/吾等持有的本人/吾等的證券或證券抵押品,詳列如下:

Unless otherwise defined, the terms used in this standing authority shall have the same meanings as in the Securities & Futures Ordinance and Securities & Futures (Client Securities) Rules as amended from time to time.

除非另有說明,本常設授權之名詞與《證券及期貨條例》和《證券及期貨(客戶證券)規則》不時修訂之定義具有相同意思。

This standing authority constitutes a standing authority under the Securities & Futures (Client Securities) Rules and authorizes you to:  
本常設授權構成根據證券及期貨(客戶證券)規則所指的常設授權,並授權貴公司:

1. apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement in accordance with the terms set out in the Terms and Conditions Account Opening Agreement;  
根據開戶合同書賬戶條款及條件所載的條款,依據證券借貸協議運用任何本人/吾等的證券或證券抵押品;
2. deposit any of my/our securities collateral with an authorized financial institution as collateral accommodation provide to you;  
將任何本人/吾等的證券抵押品存放於認可財務機構,作為該機構向貴公司提供財務通融之抵押品;
3. deposit any of my/our securities collateral with Hong Kong Securities Clearing Company Limited (“HKSCC”) as collateral for the discharge and satisfaction of your settlement obligations and liabilities. I/We understand that HKSCC will have a first fixed charge over my/our securities to the extent of your obligations and liabilities;  
將任何本人/吾等的證券抵押品存放於香港中央結算有限公司(「香港結算」),作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品。本人/吾等明白香港結算因應貴公司的責任和義務而對本人/吾等的證券設定第一固定押記;
4. deposit any of my/our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of your settlement obligations and liabilities; and  
將任何本人/吾等的證券抵押品存放於任何其他認可結算所或任何其他獲發牌或獲註冊進行證券交易的仲介人,作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品;及
5. apply or deposit any of my/our securities collateral in accordance with paragraphs 1, 2, 3 and/or 4 above if you provide financial accommodation to me/us in the course of dealing in securities and also provide financial accommodation to me/us in the course of any other regulated activity for which you are licensed or registered.  
如貴公司在進行證券交易及貴公司獲發牌或獲註冊進行任何其他受規管活動的過程中向本人/吾等提供財務通融,即可按照上述第一、第二、第三及/或第四段所述運用或存放任何本人/吾等的證券抵押品。

You may do any of these things without giving me/us notice. I/We acknowledge and agree that this standing authority shall not affect your right to dispose or initiate a disposal by your affiliates of my/our securities or securities collateral in settlement of any liability owed by or on behalf of me/us to you, the affiliates or a third person.

貴公司可不向本人/吾等發出通知而採取上述行動。本人/吾等確認並同意本常設授權不影響貴公司為解除由本人/吾等或代本人/吾等對貴公司、貴公司之聯營公司或第三者所負的法律責任,而處置或促使貴公司的聯營公司處置本人。吾等之證券或證券抵押品的權利。

I/We acknowledge and agree that:

- Upon you applying any of my/our security or securities collateral in accordance with 1. above, such security or securities collateral will cease to be held in the Client Accounts, but the borrower of such security or securities collateral will have undertaken to return equivalent securities of the same description;
- I am/We are capable of assessing the merits of, and understands and accepts the risks associated with the securities lending and borrowing arrangements; and
- No undue influence or pressure was exerted on, or any unfair tactics were used against me/us in signing this standing authority.

本人/吾等確認並同意:

- 當貴公司根據上文 1.項運用任何本人/吾等的證券或證券抵押品後,該等證券或證券抵押品將不再由客戶賬戶持有,惟該等證券或證券抵押品的借入人將承諾返還名稱相同的同等證券;
- 本人/吾等能夠評估證券借貸安排的好處,並明白並接納當中有關的風險;及
- 本人/吾等於簽署本常設授權時,並無被施加不當的影響或壓力,或被運用任何不公平的手法。

This standing authority is given to you in consideration of your agreeing to continue to maintain the securities margin account(s) for me/us.

此賦予貴公司之授權乃鑒於貴公司同意繼續維持本人/吾等之證券保證金戶口。

I/We understand that a third party may have rights to my /our securities, which you must satisfy before my/our securities can be returned to me/us.

本人/吾等明白本人/吾等的證券可能受制於第三者之權利,貴公司須全數抵償該等權利後,方可將本人/吾等的證券退回給本人/吾等。

This standing authority is valid for a period of 12 months<sup>1</sup>. I/We understand that this standing authority may be revoked by giving you written notice. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice. This standing authority may also be revoked by you at any time by giving not less than 14 days prior written notice to me/us.

本常設授權的有效期限為 12 個月<sup>1</sup>。本人/吾等明白本人/吾等可以向貴公司發出書面通知,撤回本常設授權。該等通知之生效日期為貴公司真正收到該等通知後之 14 日起計。本常設授權亦可由貴公司隨時撤回,惟須給予本人/吾等不少於 14 日的事先書面通知。

I/We understand that, this standing authority may be deemed to be renewed, on a continuing basis for a period of 12 months (or for another period not exceeding 12 months specified in the written reminder) without my/our written consent (i) if you issue me/us a written reminder at least 14 days prior to the expiry date of this standing authority, and (ii) I/We do not object to such deemed renewal before such expiry date.

本人/吾等明白倘(i)貴公司在本常設授權有效屆滿前的最少 14 日之前,向本人/吾等發出書面通知,提醒本人/吾等本常設授權即將屆滿,而(ii)本人/吾等沒有在此授權屆滿前反對此授權續期,本常設授權應當作在不需要本人/吾等的書面同意下按持續的基準已被續期 12 個月(或於書面通知中指定的不超過 12 個月的其他時期)。

In the event of any difference in interpretation or meaning between the Chinese version and English version of the standing authority, I/We agree that the English version shall prevail.

倘若本常設授權的中文本與英文本在釋義或涵義方面有任何差異,本人/吾等同意應以英文本為準。

This letter has been fully explained to me/us and I/We understand and agree with the contents of this letter.

本人/吾等已獲解釋清楚本函件的全部內容,本人/吾等明白及同意本函件的內容。

X



Client Signature 客戶簽署

Date 日期

<sup>1</sup> Different expiry period and renewal arrangements applying to professional investors but we assume you will apply non-professional investors standards in this standing authority.

<sup>1</sup> 專業投資者採用不同的有效期限及續期安排,惟吾等假設貴公司將於本常設授權中採納非專業投資者標準。