

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

### 声明及签署页 - 个人及联名账户适用

**To: China Galaxy International Securities (Hong Kong) Co., Limited**  
 (“Galaxy International Securities”)  
 致: 中国银河国际证券(香港)有限公司 (「银河国际证券」)  
 CE No. / 证监会中央编号: AXM 459

**China Galaxy International Futures (Hong Kong) Co., Limited**  
 (“Galaxy International Futures”)  
 中国银河国际期货(香港)有限公司 (「银河国际期货」)  
 CE No. / 证监会中央编号: AYH 772

Account Name 客户名称:          AE Code 客户主任编号:	Securities Cash A/C No. 证券现金账户编号: _____  Securities Margin A/C No. 证券孖展账户编号: _____  Futures A/C No. 期货账户编号: _____  Stock Options A/C No. 股票期权账户编号: _____
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I/We hereby request to open the following trading accounts (please tick where applicable):  
 本人(等)特此申请开立以下交易账户(请适当地方勾选):

With Galaxy International Securities 于银河国际证券	<input type="checkbox"/> Securities Cash Account 证券现金账户	<input type="checkbox"/> Securities Margin Account 证券孖展账户	<input type="checkbox"/> Stock Options Account 股票期权账户
With Galaxy International Futures 于银河国际期货	<input type="checkbox"/> Futures Account 期货账户		
Type of Accounts 账户类别	<input type="checkbox"/> Individual Account 个人户口	<input type="checkbox"/> Joint Account 联名户口 Joint Account Holders should complete part 1 & 2 in this form respectively. 联名账户持有人须分别填写本表格第一至第二部份	

1. 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)确认已阅读及明白有关之证券现金交易账户及/或证券孖展交易账户及/或期货交易账户及/或股票期权交易账户协议书及其附录(“协议书”), 而本人(等)接纳并同意受该等条款约束。
2. 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.  
 银河国际证券及/或银河国际期货有权不时更改协议书之条款, 并向本人(等)发出通知, 除非银河国际证券及/或银河国际期货收到本人取消户口通知, 则表示本人(等)接纳该更改条款。
3. 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)谨此授权银河国际证券及/或银河国际期货及此开户文件提及之银行相互及向合适第三者查证及交换此开户文件上之资料和其他关于本人/吾等之个人资料、本人(等)之银行账户, 以作核实开户申请及其他目的如本人(等)仍为阁下的客户。
4. 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)确认本人(等)本身之账户及以当事人身份与银河国际证券及/或银河国际期货订立每一项交易, 本人(等)亦为所有本人(等)与银河国际证券及/或银河国际期货(视情况而定)订立有关交易之受益人。



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)确认在账户申请表中所提供的资料乃属真实, 正确及完整, 并授权银河国际证券及/或银河国际期货可向任何方面确定和查证。除非银河国际证券及/或银河国际期货(视情况而定)收到任何客户资料改变的书面通知, 银河国际证券及/或银河国际期货将有权依据这些资料, 作任何用途或目的。本人(等)确认及承诺如所提供之资料有任何更改, 均会立刻通知银河国际证券及/或银河国际期货。
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)现声明及确认已获得提供按照本人(等)选择的语言 (英文或中文) 之风险披露声明书, 本人(等)已获邀阅读此风险披露声明, 并按照本人(等) 意愿提出问题及征求独立意见。
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)已阅读及同意给予客户载于协议书内有关香港个人资料(私隐) 条例之附注。
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)明白银河国际证券及/或银河国际期货(视情况而定)有最终接纳开户与否之权利。
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)声明随此账户申请书附上关于本人(等)的 FATCA 及 CRS 状况自我证明表格的资料均属真实、准确及完整。

Signature and Signing Arrangement 签署及签署安排	
<p><b>Specimen Signature 签署式样</b></p> <p>X </p> <hr/> <p>Signature of Account Holder 账户持有人签署</p> <p>Name 姓名: Date 日期:</p>	<p><i>For Joint Account only 只适用于联名户口:</i></p> <p><b>Specimen Signature 签署式样</b></p> <p>X</p> <hr/> <p>Signature of Alternate Account Holder 账户持有人签署</p> <p>Name 姓名: Date 日期:</p>
<p>***For Joint Account only 只适用于联名户口:            Any _____ of the above signatures will be valid 上述任何 _____ 名人仕签名有效</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 <b>中国银河国际证券(香港)有限公司及/或中国银河国际期货(香港)有限公司</b> 接纳</p>	
<hr/> <p>Authorized Signature 授权签名</p>	

# ACCOUNT APPLICATION FORM 账户申请表 – For Individual & Joint Account 个人及联名账户适用

Note 注意: Please complete in Block Letters and tick where applicable. 请用正楷填写, 并在适当地方勾选。

## Part 1: Client Information

### 第一部份: 客户资料

1.1 Personal Information of Account Holder 账户持有人个人资料			
Name in English (Surname First) as per your ID Card/Passport 英文姓名 (先写姓氏), 姓名必须与阁下的身份证/护照的纪录相符:		Name in Chinese 中文姓名:	
ID Card/Passport No. 身份证/护照号码: (Please enclose copy 请附副本)		Issuing Country 签发国家:	Nationality 国籍:
Date of Birth 出生日期: ____/____/____ (yyyy 年) (mm 月) (dd 日)	Place of Birth 出生地:	Gender 性别: <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女	Marital Status 婚姻状况: <input type="checkbox"/> Single 单身 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 离婚 <input type="checkbox"/> Widowed 丧偶
Permanent Residence Address 永久居住地址 (No P.O. Box 不接受邮政信箱):  (Postal Code 邮编: _____)			Country of Residence 居住国家:
Correspondence Address 通讯位址:	<input type="checkbox"/> Permanent Residence Address 永久居住地址 <input type="checkbox"/> Office Address 办事处地址		(Postal Code 邮编: _____)
	<input type="checkbox"/> Others 其他 _____		
Email 电邮:			
(Country Code) Home Tel. No.: (国家区号) 住宅电话号码:		(Country Code) Office Tel. No.: (国家区号) 办事处电话号码:	
(Country Code) Mobile Phone No.: (国家区号) 手提电话号码:		(Country Code) Fax No.: (国家区号) 传真号码:	
Electronic Trading Service(s) for Securities Cash/ Securities Margin/ Futures/ Stock Options Account(s)? (Please delete as appropriate) 选用电子交易服务于证券现金/ 证券孖展/ 期货/ 股票期权 账户?(请删去不适用者)			<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
*Trading Password will be sent to the registered account correspondences email address *交易密码将发送到账户通讯登记电邮地址			
Deliver account correspondences (including but not limited to combined statements, contract notes and corporate action notes) 账户通讯 (包括但不限于综合结单, 成交单据及公司动向通知书): (Choose one only 只可选其一)			
<input type="checkbox"/> By mail to correspondence address 邮寄至通讯位址 <input type="checkbox"/> By Internet to the above email address 以互联网送至以上电邮地址			
Residential Information 住处资料:			
<input type="checkbox"/> With Family 与家人同住 <input type="checkbox"/> Owned 自置 <input type="checkbox"/> Rented-private 租用私人楼宇 <input type="checkbox"/> Rented-public 租用公共房屋 <input type="checkbox"/> Quarters 宿舍			
<input type="checkbox"/> Mortgage 按揭贷款 <input type="checkbox"/> Others 其他(please indicate 请注明) _____			
Year(s) at Present Address 居住年期		Language selection for statements 结单语言选择: (Choose one only 只可选其一)	
<input type="checkbox"/> 1-5 years 年 <input type="checkbox"/> 5-10 years 年 <input type="checkbox"/> over 10 years 超过 10 年		<input type="checkbox"/> 繁体中文 <input type="checkbox"/> 简体中文 <input type="checkbox"/> English	
Employment Details 就业情况:			
<input type="checkbox"/> Self-employed/owner 自雇/雇主 <input type="checkbox"/> Employee 雇员 <input type="checkbox"/> Housewife 家庭主妇 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Unemployed 无业 <input type="checkbox"/> Student 学生			
<input type="checkbox"/> Others 其他 _____			
Name of Employer 客户受雇/自雇公司名称		Position 职位	Year of Service 服务年期
Office Address 公司地址  (Postal Code 邮编: _____)			
Employer/Occupation Industry (please select one) 雇主/职业行业(只选一项):			
<input type="checkbox"/> Agriculture 农业	<input type="checkbox"/> Finance 金融	<input type="checkbox"/> Leisure/Entertainment/Culture 康乐/娱乐业/文化	<input type="checkbox"/> Real Estate Development 房地产开发
<input type="checkbox"/> Art Piecework Trading 艺术品/古董买卖	<input type="checkbox"/> Food and Beverage 饮食业	<input type="checkbox"/> Logistics 物流业	<input type="checkbox"/> Retail 零售
<input type="checkbox"/> Beauty/Healthcare Service 美容/保健服务	<input type="checkbox"/> Foreign Consulate Embassy 外国领事馆	<input type="checkbox"/> Manufacturing 制造业	<input type="checkbox"/> Trading/Wholesales 贸易/批发
<input type="checkbox"/> Business Services 商业服务	<input type="checkbox"/> Gambling 博彩业	<input type="checkbox"/> Media/Marketing 媒体/市场营销	<input type="checkbox"/> Transportation 运输
<input type="checkbox"/> Communications 通讯	<input type="checkbox"/> Gems/Precious Metals/ Jewellery Trading 宝石/贵金属/珠宝买卖	<input type="checkbox"/> Medical 医疗	<input type="checkbox"/> Utilities 公共事业
<input type="checkbox"/> Construction 建造	<input type="checkbox"/> Hotels/Travel 酒店/旅游业	<input type="checkbox"/> Money Exchange/Remittance 货币兑换/汇款	<input type="checkbox"/> Weapon/Military Industry 军火/军工
<input type="checkbox"/> Education 教育	<input type="checkbox"/> Information Technology 资讯科技	<input type="checkbox"/> Non-profit organization 非牟利机构	<input type="checkbox"/> Others (please state) 其他(请注明): _____
<input type="checkbox"/> Engineering 工程	<input type="checkbox"/> Insurance 保险	<input type="checkbox"/> Pawnshop 典当业	
<input type="checkbox"/> Employee of Financial Regulators/ ICAC/similar authority 金融监管机构/廉署/同类机构的雇员	<input type="checkbox"/> Legal 法律	<input type="checkbox"/> Real Estate Agent 房地产经纪	

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

### 第二部份：个人/联名账户持有人财务资料摘要

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

以下资料代表账户持有人**独立拥有**之收入及资产:

<b>Source of Investment funds</b> <b>投资资金来源</b> The source of initial and expected deposits to China Galaxy International for investment 初始存入及预期存入中国银河国际以作投资的资金来源	<input type="checkbox"/> Salary 薪金/工资	<input type="checkbox"/> Savings 储蓄	<input type="checkbox"/> Business Profit 业务溢利		
	<input type="checkbox"/> Pension 退休金	<input type="checkbox"/> Return on investment 投资回报	<input type="checkbox"/> Rent 租金		
	<input type="checkbox"/> Commission 佣金	<input type="checkbox"/> Inheritance 继承 / Gift 馈赠	<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 低于 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 高于 5,000,000
<b>Asset Type</b> 资产类别	<input type="checkbox"/> Land and Property 房地产		<input type="checkbox"/> Vehicle(s) 车辆		<input type="checkbox"/> Cash 现金 / 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 外汇
	<input type="checkbox"/> Funds 基金		<input type="checkbox"/> Bonds / Debentures 债券		<input type="checkbox"/> Precious Metal 贵金属
	<input type="checkbox"/> Inheritance 遗产		<input type="checkbox"/> Others 其他 _____		
<b>Total Net Worth (Approx. HK\$)</b> 总资产净值 (约港元)	<input type="checkbox"/> Below 低于 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 高于 30,000,000
<b>Liquid Net Worth - excluded property, automobile and insurance (Approx. HK\$)</b> 估计流动资产净值- 不包括物业, 汽车及保险 (约港元)	<input type="checkbox"/> Below 低于 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 高于 10,000,000 Approx.约 HK\$ _____
<b>Estimated Investment Amount (HK\$)</b> 估计投资金额 (港元)	<input type="checkbox"/> Below 低于 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 高于 10,000,000
<b>Average Investment Amount Per Year (HK\$)</b> 每年平均投资金额 (港元)	<input type="checkbox"/> Below 低于 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 高于 10,000,000
Have the client ever been bankrupted, or served with a bankruptcy petition? 客户是否曾经破产或被送达要将客户破产的呈请?			<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是 If yes, please provide the date and details 如是, 请提供日期及详情: _____		
Will the client invest in Over-The-Counter (“OTC”) products? 客户是否会投资场外交易产品?			<input type="checkbox"/> Yes 会 <input type="checkbox"/> No 不会		

## Part 3: Client Standing Settlement Bank Account

### 第三部份：客户常设交收银行账户

(The Bank Account Name must be the same as Client's name 银行账户名称须与客户名称相符)

#### 3.1 Bank Account Information for Account Holder 账户持有人银行账户资料

<b>Bank Name 银行名称:</b>	<b>Bank Account No 银行账户号码:</b>
<b>Bank Account Name 银行账户名称:</b>	<b>Country of Receiving Bank 收款银行所在地:</b>
<b>Account Type/Currency 账户类别/货币:</b> <input type="checkbox"/> HKD 港币账户 <input type="checkbox"/> USD 美金账户 <input type="checkbox"/> Multi-Currency 综合账户 <input type="checkbox"/> Others 其他 _____	
<b>Bank Address 银行地址:</b> (If applicable 如适用)	<b>CCASS Investor A/C 中央结算投资者户口:</b> (If applicable 如适用)

## Part 4: Ultimate Beneficial Owner of the Account

### 第四部份：账户最终实益拥有人

4.1 Is the client the person ultimately benefits from and/or bears the risks of any transactions under this account? 客户是否此账户所有交易的最终受益及/或承担风险人士?

Yes 是

No. Please provide below details with supporting documents:- 否。请提供相关资料及附上有关档:-

Name 姓名:

Phone No. and Address 电话及位址:

Identity Card/ Passport number 身份证/ 护照号码:

Identity Card/ Passport Issuing Country 身份证 / 护照签发国家:

Relationship with the client and reasons (if any) 与客户的关系及原因 (如有):

## Part 5: Related Account(s)

### 第五部份：关连账户

- 5.1 Is the client an employee of or related to any employee or director of **Galaxy International Group**?  
客户是否银河国际集团之雇员或与银河国际集团之任何雇员或董事有亲属关系?  
 No 否  Yes, whose name is 是, 其姓名为: \_\_\_\_\_ Relationship 关系: \_\_\_\_\_
- 5.2 Is your spouse or other persons related with you a client of **Galaxy International Group**?  
客户的配偶或其他与客户有关连的人士是否银河国际集团的客户?  
 No 否  Yes, whose name is 是, 其姓名为: \_\_\_\_\_ (A/C No 账户号码: \_\_\_\_\_) Relationship 关系: \_\_\_\_\_
- 5.3 Are you operating another account in **Galaxy International Group**?  
客户是否操控另一银河国际集团账户?  
 No 否  Yes, whose name is 是, 其姓名为: \_\_\_\_\_ (A/C No 账户号码: \_\_\_\_\_) Relationship 关系: \_\_\_\_\_
- 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**?  
客户是否个人或与配偶共同控制任何银河国际集团的公司客户 30% 或以上的投票权?  
 No 否  Yes, the account name is 是, 账户名称为: \_\_\_\_\_ (A/C No 账户号码: \_\_\_\_\_)

## 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?  
客户或其授权人是否证监会持牌法团或注册机构的董事、雇员或持牌代表?  
 No 否  Yes 是, please provide name of Licensed Corporation/ Registered Institution 请提供持牌法团或注册机构名称: \_\_\_\_\_  
\*Please attach a consent letter of account opening from your employer 请附上阁下雇主之开户同意书
- 6.2 Is the client or his authorized person a director, employee or major shareholder of any listed company?  
客户或其授权人是否任何上市公司的董事/雇员/大股东?  
 No 否  Yes 是, please provide the name of the listed company and the place of listing 请提供上市公司的名称和上市地点:  
\_\_\_\_\_
- 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)?  
客户及/或其授权人、其各自的配偶、伴侣、子女或父母、或该名个人的子女的配偶或伴侣、或与该名个人有关系密切的人是否或曾在任何地方担任或曾担任重要的公职 (包括国家元首、政府首长、资深从政者、高级政府、司法或军事官员、国有企业高级行政人员及重要政党干事); 或是否或曾在任何国际组织担任重要的职位 (包括高级管理层, 即董事会的董事、副董事及成员或对等职位)?  
 No 否  Yes 是  
**If Yes, please provide 如是, 请提供资料如下:**  
Name of the politically exposed person 政治人物的名称: \_\_\_\_\_  
Place and public function/function of an international organization entrusted with 地方及所担任的公职/所担任的国际组织职位: \_\_\_\_\_  
Term of the public function/function of an international organization entrusted with 所担任的公职或职位的年期: \_\_\_\_\_  
Relationship with the client 与客户之关系: \_\_\_\_\_

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

### 第七部份：使用个人资料作直接促销

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)已阅读及明白给予客户载于账户协议书内关于香港个人资料(私隐)条例及/或(如适用)通用资料保障条例之附注, 本人(等)明白本人(等)的个人资料可能会提供给银河国际证券及/或银河国际期货及/或任何银河国际集团成员用于账户协议书内所列出的产品、服务及/或目标类别的直接促销。本人(等)现行使本人(等)同意, 及拒绝直接促销活动的权利如下:

Please tick where applicable 请在适当地方勾选:

- 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**银河国际证券及/或银河国际期货使用本人/吾等的个人资料透过\*邮寄、电邮、电话短讯、传真或专人电话的途径作直接促销。
- 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**银河国际证券及/或银河国际期货使用本人/吾等的个人资料透过\*邮寄、电邮、电话短讯、传真或专人电话的途径作直接促销。

**Part 8: Personal Information Collection Statement concerning Northbound China Connect Orders**  
**第八部份：中华通北向交易指示的个人资料收集声明**

Will you participate in Northbound China Connect trading?  
客户是否参与中华通北向交易？

- 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)欲申请参与中华通北向交易，并确认本人(等)已经阅读并了解账户条款及条件中关于投资者识别制度的内容。本人(等)同意银河国际证券可根据有关个人资料隐私政策之附注及附录及其所述的目的使用本人(等)的个人资料。

**Part 9: Confirmation to Opt-out from Internet Trade Execution Notification**  
**第九部份：不收取网上交易执行通知确认**

By default, clients will receive Internet Trade Execution Notifications for their account(s) maintained with Galaxy International Group.  
银河国际集团会为客户预设接收执行网上交易通知。

Please tick where applicable 请在适当地方勾选：

- 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)现要求**取消**收取网上交易执行通知。本人(等)确认知悉下述之风险披露内容，并确认明白不收取有关通知所涉及的风险。
- 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.  
网上交易执行通知是根据香港证监会的《降低及纾减与互联网交易相关的骇客入侵风险指引》而实行的其中一项监察措施。其目的旨在通过即时收取网上交易通知，让客户可尽早了解其交易账户的交易状况，及时侦测所有潜在的未经授权交易，从而采取措施降低或纾减与网上交易相关的骇客入侵风险，以保护客户的网上交易账户。
  - 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.  
如客户选择取消收取网上交易执行通知，将有机会因未能及时发现其账户出现未经授权交易或被骇客入侵，因而可能引致损失。

**Witness Certification (Need not to be signed by client)**  
**见证人核证(客户无须签署此栏)**

*(To be completed where this form is signed before a third party professional or a registered person of Galaxy International Group merely as witness)*  
*(如本表格在第三方专业人士或仅作为核证人员的银河国际集团注册人士面前签署，须填写此栏)*

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).  
由香港证监会持牌或注册之人士、**银河国际集团**其属于受规管金融机构的联系人士或专业人士(如、执业会计师、律师、公证人或信托或公司服务持牌人)核证。

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)现核证本人已经与本表格签署人会晤及核对其身份证明文件正本，他(们)并在本人面前签署本表格。

核证人签字

Name 姓名: Contact Tel. 联络电话:

Date 日期: Contact Address 联络地址:

Profession 职业:  Practicing Certified Public Accountant 执业会计师  Lawyer 律师  Notary Public 公证人  Others 其他 \_\_\_\_\_

(Please provide a copy of the name card or other supporting documents 请提供名片或其他证明文件)

## Declaration by Licensed Representative 持牌代表声明

<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 **(delete as appropriate) 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(姓名见下), 为银河国际集团的注册人, 谨此声明上述之风险披露声明及有关**证券现金账户/证券孖展账户/期货账户/股票期权账户**(删去不适用者)之协议书, 已按照客户选择的语言(英文/中文)提供, 本人并邀请客户阅读该等风险披露声明及按其意愿提出问题及征求独立意见。</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(姓名见下), 为银河国际集团的注册人, 已见证及验证客户之签署及有关其身份证明文件之正本。</p>		
Name of Licensed Representative 持牌代表名称		Signature of Licensed Representative 持牌代表签署	
CE No. 中央编号	License Type 持有牌照	<input type="checkbox"/> 证券 Securities <input type="checkbox"/> 期货 Futures	
Risk Disclosed By 风险披露途径			
<input type="checkbox"/> Face-to-Face 面对面 <input type="checkbox"/> Telephone 电话 (Recorded Line No. 电话录音号码: _____)			
Date 日期: _____		Time 时间: _____	

### For Official Use Only 供内部填写

#### Mode of Transmission of Account Opening Documents with Customer(s) 与客户传送开户文件的方法:

In-person 亲身       Non-face-to-face 非面对面 (such as by email and by post, etc. 例如透过电邮或邮件等)

#### For Securities and Stock Options Transactions 如属证券买卖及股票期权买卖:

AE Name and AE code 客户主任姓名及编号		How long known to AE 与客户主任认识时间	
Market 市场	Commission Rate 佣金率(%)		
	Internet 网上		Phone 电话
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 股票期权

Commission Rate 佣金率(%)

%, Min

#### For Futures Transactions 如属期货买卖:

AE Name and AE code 客户主任姓名及编号		How long known to AE 与客户主任认识时间	
Futures / Options Contracts 期货/期权合约	Day Trade (each way) 即日买卖 (每边)		Overnight Trade (each way) 正常买卖 (每边)
Hong Kong Futures (per contract per side) 香港期货 (每合约每边)			
Hong Kong Options (per contract per side) 香港期权 (每合约每边)			
Global Futures/Options (per contract per side) 海外期货/期权 (每合约每边)			

#### To be filled by Customer Service Officer (if needed) 由客户服务主任填写 (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 特别考虑因素及意见:	Signature of AE 客户主任签名	Document check by: 文件核对经手人:

#### Remarks 备注:

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

To : China Galaxy International Securities (Hong Kong) Co., Limited  
致 : 中国银河国际证券(香港)有限公司

**Standing Authority under Securities & Futures (Client Securities) Rules 根据《证券及期货(客户证券)规则》所设立的常设授权**

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)"): 本常设授权是有关处置(如下文所载)由贵公司于在香港开设及持有并指定为客户账户或信托账户的一个或多个账户(「客户账户」)代表本人/吾等持有的本人/吾等的证券或证券抵押品, 详列如下:

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. 除非另有说明, 本常设授权之名词与《证券及期货条例》和《证券及期货(客户证券)规则》不时修订之定义具有相同意思。

This standing authority constitutes a standing authority under the Securities & Futures (Client Securities) Rules and authorizes you to: 本常设授权构成根据证券及期货(客户证券)规则所指的常设授权, 并授权贵公司:

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; 根据开户合同书账户条款及条件所载的条款, 依据证券借贷协议运用任何本人/吾等的证券式证券抵押品;

2. deposit any of my/our securities collateral with an authorized financial institution as collateral accommodation provide to you; 将任何本人/吾等的证券抵押品存放于认可财务机构, 作为该机构向贵公司提供财务通融之抵押品;

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; 将任何本人/吾等的证券抵押品存放于香港中央结算有限公司(「香港结算」), 作为解除贵公司在交收上的义务和清偿贵公司在交收上的法律责任的抵押品。本人/吾等明白香港结算因应贵公司的责任和义务而对本人/吾等的证券设定第一固定押记;

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 将任何本人/吾等的证券抵押品存放于任何其他认可结算所或任何其他获发牌或获注册进行证券交易的仲介人, 作为解除贵公司在交收上的义务和清偿贵公司在交收上的法律责任的抵押品; 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. 如贵公司在进行证券交易及贵公司获发牌或获注册进行任何其他受规管活动的过程中向本人/吾等提供财务通融, 即可按照上述第一、第二、第三及/或第四段所述运用或存放任何本人/吾等的证券抵押品。

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. 贵公司可不向本人/吾等发出通知而采取上述行动。本人/吾等确认并同意本常设授权不影响贵公司为解除由本人/吾等或代本人/吾等对贵公司、贵公司之联营公司或第三者所负的法律义务, 而处置或促使贵公司的联营公司处置本人/吾等之证券或证券抵押品的权利。

I/We acknowledge and agree that: 本人/吾等确认并同意:

- 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/吾等确认并同意:

- 当贵公司根据上文 1.项运用任何本人/吾等的证券或证券抵押品后, 该等证券或证券抵押品将不再由客户账户持有, 惟该等证券或证券抵押品的借入人将承诺返还名称相同的同等证券;
- 本人/吾等能够评估证券借贷安排的好处, 并明白并接纳当中有关的风险; 及
- 本人/吾等于签署本常设授权时, 并无被施加不当的影响或压力, 或被运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. 此赋予贵公司之授权乃鉴于贵公司同意继续维持本人/吾等之证券保证金户口。


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/吾等的证券可能受制于第三者之权利, 贵公司须先全数抵偿该等权利后, 方可将本人/吾等的证券退回给本人/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. 本常设授权的有效期为 12 个月<sup>1</sup>。本人/吾等明白本人/吾等可以向贵公司发出书面通知, 撤回本常设授权。该等通知之生效日期为贵公司真正收到该等通知后之 14 日起计。本常设授权亦可由贵公司随时撤回, 惟须给予本人/吾等不少于 14 日的事先书面通知。

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)贵公司在本常设授权有效届满前的最少 14 日之前, 向本人/吾等发出书面通知, 提醒本人/吾等本常设授权即将届满, 而(ii)本人/吾等没有在此授权届满前反对此授权续期, 本常设授权应当作为在不需要本人/吾等的书面同意下按持续的基准已被续期 12 个月(或于书面通知中指定的不超过 12 个月的其他时期)。

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. 倘若本常设授权的中文本与英文本在释义或涵义方面有任何差异, 本人/吾等同意应以英文本为准。

This letter has been fully explained to me/us and I/We understand and agree with the contents of this letter. 本人/吾等已获解释清楚本函件的全部内容, 本人/吾等明白及同意本函件的内容。

X 

Client Signature 客户签署 \_\_\_\_\_ 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> 专业投资者采用不同的有效期限及续期安排, 惟吾等假设贵公司将于本常设授权中采纳非专业投资者标准。