

## Declaration and Signature Page - For Corporate Account

### 声明及签署页 - 公司账户适用

**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:	Securities Cash A/C No. 证券现金账户编号: _____
AE Code 客户主任编号:	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: _____

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(请在适当地方加上剔号):

With <b>Galaxy International Securities</b> 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 <b>Galaxy International Futures</b> 于银河国际期货	<input type="checkbox"/> Futures Account 期货账户		

- 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 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。
- 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, 否则表示本人(等)接纳该更改条款。
- 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)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。
- 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。

Signed by 签署:



Authorized Signature 授权签名 (with Company Chop 附公司图章)

Name 姓名:

Date 日期:

Accepted by

For and on behalf of **China Galaxy International Securities(Hong Kong) Co., Limited and/or China Galaxy International Futures (Hong Kong) Co., Limited**

由 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)有限公司接纳

Authorized Signature 授权签名

ACCOUNT APPLICATION FORM 账户申请表 – (For Corporate Account 公司账户适用)

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

Part 1: Account Type 第一部份: 账户类别	
1.1 Nature of Entity 公司性质	
<input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Unlisted Limited Company 非上市有限公司 <input type="checkbox"/> Sole Proprietorship 独资经营 <input type="checkbox"/> Partnership 合伙人	
<input type="checkbox"/> Trust 信托 <input type="checkbox"/> Fund 基金 <input type="checkbox"/> Others 其他 _____	
1.2 Electronic Trading Service 电子交易服务	
Electronic Trading Service(s) for Securities Cash/ Securities Margin/ Futures/ Stock Options Account(s)? 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? *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	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Part 2: Corporate Information 第二部份: 公司资料	
2.1 Company Information 公司资料	
Company Name 公司名称:	Name in Chinese(if any)中文名称(如有):
Certificate of Incorporate No.公司注册号码: (Please enclose copy 请附副本)	Country of Incorporation 注册/成立国家:
Business Registration no. in Hong Kong 香港商业登记号码 (Please enclose copy 请附副本)	Date of Incorporation 注册成立日期: _____(yyyy 年) _____(mm 月) _____(dd 日)
Registered office 注册地址:	(Postal Code 邮编: _____)
Permanent Address / Principal place of business (if different from the registered office) 永久地址 / 总办事处地址 (如异于注册地址) (No P.O. Box Please 请勿填上邮政信箱)	(Postal Code 邮编: _____)
Correspondence Address 通讯地址: <input type="checkbox"/> Registered Office 注册地址 <input type="checkbox"/> Permanent Address / Principal place of business 永久地址 / 总办事处地址	
<input type="checkbox"/> Other 其他 _____ (Postal Code 邮编: _____)	
Country of Business Address 营业地址国家:	Location of Counterparties with whom the Company conducts business 与公司有业务往来的交易对手所在地:
Telephone Number 电话号码	Fax No. 传真号码
Email Address 电邮地址:	Language selection for statements 结单语言选择: <input type="checkbox"/> 繁体中文 <input type="checkbox"/> 简体中文 <input type="checkbox"/> English
Deliver account correspondences 账户通讯 (Choose one only 只可选择其一)	
<input type="checkbox"/> By mail to correspondence address 邮寄至通讯地址 <input type="checkbox"/> By Internet to the above email address 以互联网送至以上电邮地址	
For Professional Investor Only 只适用于专业投资者	
Do you need the Trade Confirmation 是否需要交易确认书:	
<input type="checkbox"/> No 不需要	
<input type="checkbox"/> Yes 需要 (Please choose the receiving method 请选择收取方式)	
<input type="checkbox"/> By email/fax 以电邮/传真寄发至: _____	
<input type="checkbox"/> By CTM 以 CTM 寄发    CTM BIC: _____	
Do you need to waive Delivery of Statement 是否需要豁免结单:	
<input type="checkbox"/> No 不需要 <input type="checkbox"/> Daily Statement 豁免日结单 <input type="checkbox"/> Monthly Statement 豁免月结单	

## 2.2 Nature of Business and Financial Situation of the Company 公司业务性质及财务状况

Nature of Business 业务性质: (Only choose ONE 请只选一项)	<input type="checkbox"/> Agriculture 农业	<input type="checkbox"/> Gambling 博彩业	<input type="checkbox"/> Money Exchange/Remittance 货币兑换/汇款		
	<input type="checkbox"/> Art Piecework Trading 艺术品/古董买卖	<input type="checkbox"/> Gems/Precious Metals/Jewellery Trading 宝石/贵金属/珠宝买卖	<input type="checkbox"/> Non-profit organization 非牟利机构		
	<input type="checkbox"/> Beauty/Healthcare Service 美容/保健服务	<input type="checkbox"/> Hotels/Travel 酒店/旅游业	<input type="checkbox"/> Pawnshop 典当业		
	<input type="checkbox"/> Business Services 商业服务	<input type="checkbox"/> Information Technology 资讯科技	<input type="checkbox"/> Real Estate Development 房地产开发		
	<input type="checkbox"/> Communications 通讯	<input type="checkbox"/> Insurance 保险	<input type="checkbox"/> Real Estate Agent 房地产经纪		
	<input type="checkbox"/> Construction 建造	<input type="checkbox"/> Legal 法律	<input type="checkbox"/> Retail 零售		
	<input type="checkbox"/> Education 教育	<input type="checkbox"/> Leisure/Entertainment/Culture 康乐/娱乐业/文化	<input type="checkbox"/> Trading/Wholesales 贸易/批发		
	<input type="checkbox"/> Engineering 工程	<input type="checkbox"/> Logistics 物流业	<input type="checkbox"/> Transportation 运输		
	<input type="checkbox"/> Finance 金融	<input type="checkbox"/> Manufacturing 制造业	<input type="checkbox"/> Utilities 公共事业		
	<input type="checkbox"/> Food and Beverage 饮食业	<input type="checkbox"/> Media/Marketing 媒体/市场营销	<input type="checkbox"/> Weapon/Military Industry 军火/军工		
	<input type="checkbox"/> Foreign Consulate Embassy 外国领事馆	<input type="checkbox"/> Medical 医疗	<input type="checkbox"/> Others (please state) 其他(请注明): _____		
Source of Investment funds 投资资金来源 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"/> Business Profit 业务溢利	<input type="checkbox"/> Funds from related company 关联公司的资金	<input type="checkbox"/> Loan 贷款		
	<input type="checkbox"/> Funds from Shareholders 股东的资金	<input type="checkbox"/> Return on Investment 投资回报	<input type="checkbox"/> Others 其他 _____		
Annual Income (HK\$) 每年收入 (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
Total Net Worth (Approx. HK\$) 估计资产净值 (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
Liquid Net Worth - excluded property, automobile and insurance (Approx. HK\$) 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\$ _____
Estimated Investment Amount (HK\$) 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
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 是 <input type="checkbox"/> No 不是			



## Particulars of Individual Substantial Shareholder (2) 个人大股东的资料(二)

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)		Gender 性别： <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女		Tel. No 电话号码：	
Shareholding Percentage 股权百分比：					
Identity of U.S. Person 美国人身份 (i.e. U.S. Citizen, U.S. Resident, U.S. Passport or Green Card Holder 如：美国公民,美国居民,美国护照或绿卡持有人)： <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 : Tax Identification Number 税务身份号码 (TIN): _____					
Permanent / Residential Address 永久/居住地址 (No P.O. Box Please 请勿填上邮政信箱)：					Country of Residence 居住国家：
Source of Income 收入来源	<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"/> Deposit interest 银行存款利息		<input type="checkbox"/> Dividend 股息
	<input type="checkbox"/> Inheritance 继承 / Gift 馈赠		<input type="checkbox"/> Coupon 票息		<input type="checkbox"/> Household Income 家用
	<input type="checkbox"/> Nil 无		<input type="checkbox"/> Others 其他 _____		
Annual Income (HK\$) 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
Asset Type 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 _____		
Total Net Worth (Approx. HK\$) 总资产净值 (HK\$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
Liquid Net Worth - excluded property, automobile and insurance (Approx. HK\$) 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 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 Approx.约 HK\$ _____

**2.4 Particulars of Company Directors (Individual / Corporate) 公司董事的详情 (个人/公司)**

1. Name/ Name of Corp. 姓名/公司名称:  English(英文): _____  Residential Address/ Address 住址/地址: _____  _____	Chinese (中文): _____  Identity Card No./ Passport No./ C.I. No. 身份证号码/护照号码/公司注册证书号码: _____  Nationality / Place of Incorporation 国籍/成立地点: _____  Telephone No 电话号码: _____
2. Name/ Name of Corp. 姓名/公司名称:  English(英文): _____  Residential Address/ Address 住址/地址: _____  _____	Chinese (中文): _____  Identity Card No./ Passport No./ C.I. No. 身份证号码/护照号码/公司注册证书号码: _____  Nationality / Place of Incorporation 国籍/成立地点: _____  Telephone No 电话号码: _____
3. Name/ Name of Corp. 姓名/公司名称:  English(英文): _____  Residential Address/ Address 住址/地址: _____  _____	Chinese (中文): _____  Identity Card No./ Passport No./ C.I. No. 身份证号码/护照号码/公司注册证书号码: _____  Nationality / Place of Incorporation 国籍/成立地点: _____  Telephone No 电话号码: _____

**2.5 Designated Contact Person 指定联络人**

Name 姓名	Position 职位	Contact No. 联络电话	Email/ Fax 电邮/传真
1)			
2)			

**2.6 Client Authorization (If applicable) 客户授权 (如适用)**

The Client hereby authorizes the following person(s) to operate the relevant Account(s) with the relevant powers as set out below:  
客户特此授权下列人士运作有关账户, 并具有下文列载之权力:

**(i) Trading Authorization 交易授权:**

Name and ID Card No./Passport No. 姓名及身份证号码 / 护照号码	Occupation / Position 职业/ 职位	Address / 地址	Contact No. 联络电话	Specimen 签署式样

Any \_\_\_\_\_ of the above may sign and effect transaction(s) in the relevant account(s).  
上述任何\_\_\_\_\_人士可签署及就相关账户进行交易。

**(ii) Settlement Authorization 交收授权:**

Name and ID Card No./Passport No. 姓名及身份证号码 / 护照号码	Occupation / Position 职业/ 职位	Address / 地址	Contact No. 联络电话	Specimen 签署式样

Any \_\_\_\_\_ of the above may sign and effect transaction(s) in the relevant account(s).  
上述任何\_\_\_\_\_人士可签署及就相关账户进行交易。

### Part 3: Client Standing Settlement Bank Account

#### 第三部份：客户常设交收银行账户

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

Bank Name 银行名称:	Bank Account No 银行账户号码:
Bank Account Name 银行账户名称:	Country of Receiving Bank 收款银行所在地:
Account Type/Currency 账户类别/货币:	
<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 _____	
Bank Address 银行地址: (If applicable 如适用)	CCASS Investor A/C 中央结算投资者户口: (If applicable 如适用)

### Part 4: Related Account(s)

#### 第四部份：关连账户

4.1 Is any of the Client's group companies a client of Galaxy International Group?

客户之集团公司是否银河国际集团客户?

☐ No 否 ☐ Yes, details of Client's group of companies are 客户之集团公司资料如下:

Name of A/C Holder 账户持有人名称:	Type of Account 账户类别	A/C No. 账户号码:

4.2 Is any shareholder(s) of the client controlled 30% or above of the voting right of the client who maintain(s) account with Galaxy International Group?

控制客户 30%或以上之投票权的股东在银河国际集团成员是否持有户口?

☐ No 否 ☐ Yes, account details of the shareholder(s) are 股东之账户资料如下:

Name of A/C Holder 账户持有人名称:	Type of Account 账户类别	A/C No. 账户号码:

4.3 Does the client and/ or the ultimate beneficial owner and/or its directors controlled 30% or above of the voting rights of any corporate client of Galaxy International Group?

客户及 / 或其最终权益受益人及 / 或其董事是否控制银河国际集团任何公司客户的 30%或以上之投票权。

☐ No 否 ☐ Yes, details of client's related accounts with Galaxy International Group are 客户于银河国际集团持有的其他关连账户资料如下:

Account Name 账户名称	Account No 账户号码	Account Type 账户类别	Relationship 关系 (S=Subsidiary 子公司 / A=Associate 关联企业 / O=Others 其他)

### Part 5: Other Disclosure

#### 第五部份：其他披露

5.1 Is the client, client's directors, shareholders or authorized persons a director or major shareholder of any listed company?

客户本身或客户之董事、股东、或授权人是否任何上市公司的董事/大股东?

☐ No 否 ☐ Yes, 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:

\_\_\_\_\_

5.2 Is the client, client's directors, shareholders or authorized persons, licensed by or registered with the Securities and Futures Commission?

客户本身或客户之董事、股东、或授权人是否证监会之持牌或注册人士?

☐ No 否 ☐ Yes, 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

5.3 Politically Exposed Person 政治人物

Is the client's directors, shareholders 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)?

客户之董事、股东及/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否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)?

☐ 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 entrusted with 地方及所担任的公职: \_\_\_\_\_

Term of the public function entrusted with 所担任的公职的年期: \_\_\_\_\_

Relationship with the client 与客户之关系: \_\_\_\_\_

## Part 6: Operation and Ultimate Beneficial Owner of the Account

### 第六部份：账户操作及最终实益拥有人

*Note: If the Client is a collective investment scheme, discretionary account and/or discretionary trust, please fill in particulars of the investment manager who is responsible for the investment decision. 注：如客户为集合投资计划、全权委托账户及/或全权委托信托，请于本部份填写负责投资决定的投资经理之详细资料。*

- 6.1 The person(s) who is/are fully responsible for giving all instructions in relation to operation and transactions under this account is/are:  
负责为此账户之交易及运作发出一切指示之人士为：

☐ The Account Holder(s) – The Account Holder(s) is/are fully responsible for giving all instructions in relation to operation and transactions under this account.  
账户持有人 – 账户持有人负责为此账户之交易及运作发出一切指示。

☐ Person(s) other than the Account Holder(s) or the abovementioned investment manager. Please provide below details with supporting documents:-  
账户持有人以外之人士或上述之投资经理。请提供相关资料及附上有关文件：

Name/Company Name 姓名/公司名称：

Occupation/Business Nature 职位/业务性质：

Phone No. and Address 电话及地址：

Identity Card / Passport number and Issuing Country 身份证/护照号码及签发国家：

OR 或

Business Registration No./Certificate of Incorporation No. and Place of Incorporation 商业登记/公司注册号码及注册地：

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

- 6.2 The person(s) who ultimately benefit(s) from and/or bear(s) the risks of any transactions under this account is/are:  
此账户内之所有交易，其最终受益及/或承担风险人士为：

☐ The Account Holder(s) – The Account Holder(s) is/are the ultimate and sole beneficial owner(s) of this account and is/are not acting as authorized nominee(s) or trustee(s) of a third party.  
账户持有人 – 账户持有人乃此账户之最终及唯一实益拥有人及并非以第三者之代理人或信托人身份对此账户进行操作。

☐ Person(s) other than the Account Holder(s) or the abovementioned investment manager. Please provide below details with supporting documents:-  
账户持有人以外之人士或上述之投资经理。请提供相关资料及附上有关文件：

Name/Company Name 姓名/公司名称：

Occupation/Business Nature 职位/业务性质：

Phone No. and Address 电话及地址：

Identity Card / Passport number and Issuing Country 身份证/护照号码及签发国家：

OR 或

Business Registration No./Certificate of Incorporation No. and Place of Incorporation 商业登记/公司注册号码及注册地：

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

## 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葵部有关香港个人资料(私隐)条例及/或(如适用)通用数据保障条例之附注，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葵部所列出的产品、服务及/或标的类别的直接促销。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 请在适当地方加上剔号：

☐ 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讯收集声明**

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码制度的内容。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 请在适当地方加上剔号：

☐ 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黑客入侵风险指引》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黑客入侵风险，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黑客入侵，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连络人士或专业人士 (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"/>	I, named below, a registered person of Galaxy International Group, hereby declare that the abovementioned risk disclosure statement(s) and Agreements in relation to** <b>Securities Cash Account / Securities Margin Account/ Futures Account/ Stock Options Account</b> <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. 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 <b>**证券现金账户/证券孖展账户/期货账户/股票期权账户**</b> (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。		
<input type="checkbox"/>	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。		
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:			
<input type="checkbox"/> In-person 亲身 <input type="checkbox"/> 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	
	US shares 美股	%, Min	
	Northbound Trade 北向交易	%, Min	
Others 其他 _____	%, 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 <input type="checkbox"/> Face-to-Face <input type="checkbox"/> 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中介人, 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:

- 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

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