

Declaration and Signature Page - For Corporate Account

聲明及簽署頁 - 公司賬戶適用

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(請在適當地方加上剔號):

With Galaxy International Securities 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
With Galaxy International Futures 於銀河國際期貨	<input type="checkbox"/> Futures Account 期貨賬戶		

- 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) 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。

Signed by 簽署:



Authorized Signature 授權簽名 (with Company Chop 附公司圖章)

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

Authorized Signature 授權簽名

ACCOUNT APPLICATION FORM 賬戶申請表 – (For Corporate Account 公司賬戶適用)

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

Part 1: Account Type 第一部份：賬戶類別

1.1 Nature of Entity 公司性質

- Listed Company 上市公司
 Unlisted Limited Company 非上市有限公司
 Sole Proprietorship 獨資經營
 Partnership 合夥人
 Trust 信託
 Fund 基金
 Others 其他 _____

1.2 Electronic Trading Service 電子交易服務

- Electronic Trading Service(s) for Securities Cash/ Securities Margin/ Futures/ Stock Options Account(s)?**
 Yes 是
 No 否
 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?
 *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

Part 2: Corporate Information 第二部份：公司資料

2.1 Company Information 公司資料

Company Name 公司名稱:		Name in Chinese(if any)中文名稱(如有):	
Certificate of Incorporate No.公司註冊號碼: (Please enclose copy 請附副本)		Country of Incorporation 註冊/成立國家:	
Business Registration no. in Hong Kong 香港商業登記號碼 (Please enclose copy 請附副本)		Date of Incorporation 註冊成立日期: _____ (yyyy 年) _____ (mm 月) _____ (dd 日)	
Registered office 註冊地址:		(Postal Code 郵編: _____)	
Permanent Address / Principal place of business (if different from the registered office) 永久地址 / 總辦事處地址 (如異於註冊地址) (No P.O. Box Please 請勿填上郵政信箱)		(Postal Code 郵編: _____)	
Correspondence Address 通訊地址: <input type="checkbox"/> Registered Office 註冊地址 <input type="checkbox"/> Permanent Address / Principal place of business 永久地址 / 總辦事處地址			
<input type="checkbox"/> Other 其他 _____ (Postal Code 郵編: _____)			
Country of Business Address 營業地址國家:		Location of Counterparties with whom the Company conducts business 與公司有業務往來的交易對手所在地:	
Telephone Number 電話號碼		Fax No. 傳真號碼	
Email Address 電郵地址:		Language selection for statements 結單語言選擇: <input type="checkbox"/> 繁體中文 <input type="checkbox"/> 简体中文 <input type="checkbox"/> English	
Deliver account correspondences 賬戶通訊 (Choose one only 只可選擇其一)			
<input type="checkbox"/> By mail to correspondence address 郵寄至通訊地址		<input type="checkbox"/> By Internet to the above email address 以互聯網送至以上電郵地址	

For Professional Investor Only 只適用於專業投資者

Do you need the Trade Confirmation 是否需要交易確認書:

- No 不需要
 Yes 需要 (Please choose the receiving method 請選擇收取方式)
 By email/fax 以電郵/傳真寄發至: _____
 By CTM 以 CTM 寄發 CTM BIC: _____

Do you need to waive Delivery of Statement 是否需要豁免結單:

- No 不需要
 Daily Statement 豁免日結單
 Monthly Statement 豁免月結單

2.2 Nature of Business and Financial Situation of the Company 公司業務性質及財務狀況

Nature of Business 業務性質: (Only choose ONE 請只選一項)	<input type="checkbox"/> Agriculture 農業	<input type="checkbox"/> Gambling 博彩業	<input type="checkbox"/> Money Exchange/Remittance 貨幣兌換/匯款		
	<input type="checkbox"/> Art Piecework Trading 藝術品/古董買賣	<input type="checkbox"/> Gems/Precious Metals/Jewellery Trading 寶石/貴金屬/珠寶買賣	<input type="checkbox"/> Non-profit organization 非牟利機構		
	<input type="checkbox"/> Beauty/Healthcare Service 美容/保健服務	<input type="checkbox"/> Hotels/Travel 酒店/旅遊業	<input type="checkbox"/> Pawnshop 典當業		
	<input type="checkbox"/> Business Services 商業服務	<input type="checkbox"/> Information Technology 資訊科技	<input type="checkbox"/> Real Estate Development 房地產開發		
	<input type="checkbox"/> Communications 通訊	<input type="checkbox"/> Insurance 保險	<input type="checkbox"/> Real Estate Agent 房地產經紀		
	<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 康樂/娛樂業/文化	<input type="checkbox"/> Trading/Wholesales 貿易/批發		
	<input type="checkbox"/> Engineering 工程	<input type="checkbox"/> Logistics 物流業	<input type="checkbox"/> Transportation 運輸		
	<input type="checkbox"/> Finance 金融	<input type="checkbox"/> Manufacturing 製造業	<input type="checkbox"/> Utilities 公共事業		
	<input type="checkbox"/> Food and Beverage 飲食業	<input type="checkbox"/> Media/Marketing 媒體/市場營銷	<input type="checkbox"/> Weapon/Military Industry 軍火/軍工		
	<input type="checkbox"/> Foreign Consulate Embassy 外國領事館	<input type="checkbox"/> Medical 醫療	<input type="checkbox"/> Others (please state) 其他(請註明): _____		
Source of Investment funds 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"/> Business Profit 業務溢利	<input type="checkbox"/> Funds from related company 關聯公司的資金	<input type="checkbox"/> Loan 貸款		
	<input type="checkbox"/> Funds from Shareholders 股東的資金	<input type="checkbox"/> Return on Investment 投資回報	<input type="checkbox"/> Others 其他 _____		
Annual Income (HK\$) 每年收入 (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
Total Net Worth (Approx. HK\$) 估計資產淨值 (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
Liquid Net Worth - excluded property, automobile and insurance (Approx. HK\$) 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\$ _____
Estimated Investment Amount (HK\$) 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
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 是		<input type="checkbox"/> No 不是		

2.3 Particulars of the ultimate shareholder(s), directly or indirectly holding 25% or more shares or exercising the control of 25% or more voting rights of the Company.

公司最終大股東 (直接或間接持有公司百分之二十五或以上的股份或控制百分之二十五或以上的投票權的大股東) 的資料

The ultimate beneficial owner(s) is/are individual 公司最終大股東為個人	→ Please Complete below Particulars of Individual Substantial Shareholder 請填寫下面個人大股東的資料	The ultimate beneficial owner is a listed company 公司最終大股東為上市公司	→ Please leave blank 請留空
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Particulars of Individual Substantial Shareholder (1) 個人大股東的資料(一)

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:	Gender 性別:	Tel. No 電話號碼:	Shareholding Percentage 股權百分比:		
(yyyy 年) (mm 月) (dd 日)	<input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女				
Identity of U.S. Person 美國人身份 (i.e. U.S. Citizen, U.S. Resident, U.S. Passport or Green Card Holder 如: 美國公民, 美國居民, 美國護照或綠卡持有人):					
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 : Tax Identification Number 稅務身份號碼 (TIN): _____					
Permanent / Residential Address 永久/居住地址 (No P.O. Box Please 請勿填上郵政信箱):			Country of Residence 居住國家:		
Source of Income 收入來源	<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"/> Deposit interest 銀行存款利息	<input type="checkbox"/> Dividend 股息		
	<input type="checkbox"/> Inheritance 繼承 / Gift 饋贈	<input type="checkbox"/> Coupon 票息	<input type="checkbox"/> Household Income 家用		
	<input type="checkbox"/> Nil 無	<input type="checkbox"/> Others 其他 _____			
Annual Income (HK\$) 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
Asset Type 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 _____			
Total Net Worth (Approx. HK\$) 總資產淨值 (HK\$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
Liquid Net Worth - excluded property, automobile and insurance (Approx. HK\$) 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 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 Approx.約 HK\$ _____

Particulars of Individual Substantial Shareholder (2) 個人大股東的資料(二)

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)		Gender 性別: <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女		Tel. No 電話號碼:	
Shareholding Percentage 股權百分比:					
Identity of U.S. Person 美國人身份 (i.e. U.S. Citizen, U.S. Resident, U.S. Passport or Green Card Holder 如: 美國公民, 美國居民, 美國護照或綠卡持有人): <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是: Tax Identification Number 稅務身份號碼 (TIN): _____					
Permanent / Residential Address 永久/居住地址 (No P.O. Box Please 請勿填上郵政信箱):				Country of Residence 居住國家:	
Source of Income 收入來源	<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"/> Deposit interest 銀行存款利息		<input type="checkbox"/> Dividend 股息
	<input type="checkbox"/> Inheritance 繼承 / Gift 饋贈		<input type="checkbox"/> Coupon 票息		<input type="checkbox"/> Household Income 家用
	<input type="checkbox"/> Nil 無		<input type="checkbox"/> Others 其他 _____		
Annual Income (HK\$) 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
Asset Type 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 _____		
Total Net Worth (Approx. HK\$) 總資產淨值 (HK\$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
Liquid Net Worth - excluded property, automobile and insurance (Approx. HK\$) 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 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 Approx.約 HK\$ _____

2.4 Particulars of Company Directors (Individual / Corporate) 公司董事的詳情 (個人/公司)

1. Name/ Name of Corp. 姓名/公司名稱: English(英文): _____ Residential Address/ Address 住址/地址: _____ _____ _____	Chinese (中文): _____ Identity Card No./ Passport No./ C.I. No. 身份證號碼/護照號碼/公司註冊證書號碼: _____ Nationality / Place of Incorporation 國籍/成立地點: _____ Telephone No 電話號碼: _____
2. Name/ Name of Corp. 姓名/公司名稱: English(英文): _____ Residential Address/ Address 住址/地址: _____ _____ _____	Chinese (中文): _____ Identity Card No./ Passport No./ C.I. No. 身份證號碼/護照號碼/公司註冊證書號碼: _____ Nationality / Place of Incorporation 國籍/成立地點: _____ Telephone No 電話號碼: _____
3. Name/ Name of Corp. 姓名/公司名稱: English(英文): _____ Residential Address/ Address 住址/地址: _____ _____ _____	Chinese (中文): _____ Identity Card No./ Passport No./ C.I. No. 身份證號碼/護照號碼/公司註冊證書號碼: _____ Nationality / Place of Incorporation 國籍/成立地點: _____ Telephone No 電話號碼: _____

2.5 Designated Contact Person 指定聯絡人

Name 姓名	Position 職位	Contact No. 聯絡電話	Email/ Fax 電郵/傳真
1)			
2)			

2.6 Client Authorization (If applicable) 客戶授權 (如適用)

The Client hereby authorizes the following person(s) to operate the relevant Account(s) with the relevant powers as set out below:
 客戶特此授權下列人士運作有關賬戶，並具有下文列載之權力：

(i) Trading Authorization 交易授權:

Name and ID Card No./Passport No. 姓名及身分證號碼/護照號碼	Occupation / Position 職業/ 職位	Address / 地址	Contact No. 聯絡電話	Specimen 簽署式樣

Any _____ of the above may sign and effect transaction(s) in the relevant account(s).
 上述任何 _____ 人士可簽署及就相關賬戶進行交易。

(ii) Settlement Authorization 交收授權:

Name and ID Card No./Passport No. 姓名及身分證號碼/護照號碼	Occupation / Position 職業/ 職位	Address / 地址	Contact No. 聯絡電話	Specimen 簽署式樣

Any _____ of the above may sign and effect transaction(s) in the relevant account(s).
 上述任何 _____ 人士可簽署及就相關賬戶進行交易。

Part 3: Client Standing Settlement Bank Account

第三部份：客戶常設交收銀行戶口

3.1 Bank Account Information for Account Holder 賬戶持有人銀行賬戶資料 (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)

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：

HKD 港幣賬戶

USD 美金賬戶

Multi-Currency 綜合賬戶

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: Related Account(s)

第四部份：關連賬戶

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

客戶之集團公司是否銀河國際集團客戶？

No 否 Yes, details of Client's group of companies are 客戶之集團公司資料如下：

Name of A/C Holder 賬戶持有人名稱：

Type of Account 賬戶類別

A/C No. 賬戶號碼：

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?

控制客戶 30%或以上之投票權的股東在銀河國際集團成員是否持有戶口？

No 否 Yes, account details of the shareholder(s) are 股東之賬戶資料如下：

Name of A/C Holder 賬戶持有人名稱：

Type of Account 賬戶類別

A/C No. 賬戶號碼：

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?

客戶及/或其最終權益受益人及/或其董事是否控制銀河國際集團任何公司客戶的 30%或以上之投票權。

No 否 Yes, details of client's related accounts with Galaxy International Group are 客戶於銀河國際集團持有的其他關連賬戶資料如下：

Account Name 賬戶名稱

Account No 賬戶號碼

Account Type 賬戶類別

Relationship 關係

(S=Subsidiary 子公司 / A=Associate 關連企業 / 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?

客戶本身或客戶之董事、股東、或授權人是否任何上市公司的董事/大股東？

No 否 Yes, 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：

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

客戶本身或客戶之董事、股東、或授權人是否證監會之持牌或註冊人士？

No 否 Yes, 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 請附上閣下僱主之開戶同意書

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)?

客戶之董事、股東及/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)？

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 entrusted with 地方及所擔任的公職：_____

Term of the public function entrusted with 所擔任的公職的年期：_____

Relationship with the client 與客戶之關係：_____

Part 6: Operation and Ultimate Beneficial Owner of the Account 第六部份：賬戶操作及最終實益擁有人

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. 註：如客戶為集合投資計劃、全權委託賬戶及/或全權委託信託，請於本部份填寫負責投資決定的投資經理之詳細資料。

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:
負責為此賬戶之交易及運作發出一切指示之人士為：

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.
賬戶持有人 – 賬戶持有人負責為此賬戶之交易及運作發出一切指示。

Person(s) other than the Account Holder(s) or the abovementioned investment manager. Please provide below details with supporting documents:-
賬戶持有人以外之人士或上述之投資經理。請提供相關資料及附上有關文件：

Name/Company Name 姓名/公司名稱: Occupation/Business Nature 職位/業務性質:

Phone No. and Address 電話及地址:

Identity Card / Passport number and Issuing Country 身份證/護照號碼及簽發國家:

OR 或

Business Registration No./Certificate of Incorporation No. and Place of Incorporation 商業登記/公司註冊號碼及註冊地:

Relationship with the Account Holder(s) and reasons (if any) 與客戶的關係及原因 (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:
此賬戶內之所有交易，其最終受益及/或承擔風險人士為：

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.
賬戶持有人 – 賬戶持有人乃此賬戶之最終及唯一實益擁有人及並非以第三者之代理人或信託人身份對此賬戶進行操作。

Person(s) other than the Account Holder(s) or the abovementioned investment manager. Please provide below details with supporting documents:-
賬戶持有人以外之人士或上述之投資經理。請提供相關資料及附上有關文件：

Name/Company Name 姓名/公司名稱: Occupation/Business Nature 職位/業務性質:

Phone No. and Address 電話及地址:

Identity Card / Passport number and Issuing Country 身份證/護照號碼及簽發國家:

OR 或

Business Registration No./Certificate of Incorporation No. and Place of Incorporation 商業登記/公司註冊號碼及註冊地:

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

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)通用数据保障條例之附註，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/或標的類別的直接促銷。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 請在適當地方加上剔號:

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碼制度的內容。本人(等)同意銀河國際證券可根據有關個人資料隱私政策之附注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 請在適當地方加上剔號:

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。

1. 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黑客入侵風險指引》而實行的其中一項監察措施。其目的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黑客入侵風險，以保護客戶的網上交易賬戶。

2. 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連絡人士或專業人士 (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

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.
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。

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。

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
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Risk Disclosed By 風險披露途徑

Face-to-Face 面對面 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:

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:

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,本常設授權之名稱與《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中介人,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鑑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 months¹. 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¹。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

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

¹ 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。