

**Appendix 1 - Confirmation of Client Identification Data (“CID”)**
**附件一：客戶識別信息確認函**

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

Date 日期: \_\_\_\_\_

Name of Client 客戶名稱		Account No. 客戶號碼	
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**1. For Individual client or all clients of joint account<sup>1</sup>**

個人客戶或聯名賬戶下的所有客戶<sup>1</sup>

According to the rules and requirements under HKIDR and OTCR of SEHK and SFC, the waterfall of the identity document types are as follow: (i) Hong Kong Identity card; (ii) national identification document; and (iii) passport. Please fill in the details in the following part by descending priority. If the identification document is not provided during the account opening process or subsequent regular review, please provide us with a copy of that identity document.

根据证监会的要求，客戶須按以下優先次序提供身份證明文件：(1)香港身份證；(2)國民身分證證明文件及(3)護照。請依照上述優先排序依次填寫以下資料。如閣下在開戶過程中或其後的定期檢查中並沒有向我司提供該身份證明文件，請提供該身份證明文件的副本。

Priority 優先次序	Identification Document 身份證件類型	Yes <sup>2</sup> 是 <sup>2</sup>	No 否	If yes, please fill in details in the following descending order 如是，請依以下列填寫以下資料：
1 <sup>st</sup> 第一優先	HKID card 香港身份證	<input type="checkbox"/>	<input type="checkbox"/>	HKID Card No. 香港身份證號碼
2 <sup>nd</sup> 第二優先	National identification document 國民身分證證明文件	<input type="checkbox"/>	<input type="checkbox"/>	National ID Card No. 國民身分證號碼
				Place of issue of National ID Card 國民身分證發出地
3 <sup>rd</sup> 第三優先	Passport 護照	<input type="checkbox"/>	<input type="checkbox"/>	Passport No. 護照號碼
				Place of issue of Passport 護照發出地

<sup>1</sup>Please provide the CID for all clients named for a joint account. Please fill in the table set out above separately, as applicable.

<sup>1</sup> 請提供聯名賬戶內所有客戶的客戶識別信息。請按適用情況，分別填寫以上列表。

<sup>2</sup>If you tick Yes in 1<sup>st</sup> priority, you are not required to complete 2<sup>nd</sup> and 3<sup>rd</sup> priority, and so on.

<sup>2</sup> 如選擇第一優先為是，則不用完成第二及第三優先，如此類推。

**2. For Corporate client and Trustee of the trust account client**

公司客戶或信託客戶的受託人

According to the rules and requirements under HKIDR and OTCR of SEHK and SFC, the waterfall of the identity document types are as follow: (A) For a corporate client: (i) Legal Entity Identifier (“LEI”)<sup>3</sup> registration document; (ii) certificate of incorporation; (iii) business registration certificate and (iv) other equivalent documents; (B) For a client that is a trust: the CID of the trustee should be the same as that of a corporate or individual client (refer to the below table for details). Please fill in details in the following part by descending priority. If the identification document is not provided during the account opening process or subsequent regular review, please provide us with a copy of that identity document.

根据证监会的要求，提交客戶身份證明文件類別的優先次序排列为：(A) 就公司客戶而言：(1) 法律實體識別編碼(LED)<sup>3</sup>登記文件；(2) 公司註冊證明書；(3) 商業登記證及(4) 其他同等文件。(B) 就屬信託客戶而言：受託人的客戶識別信息的優先次序應與公司或個人客戶的客戶識別信息要求相同(詳見下列列表)。請依照上述優先排序依次填寫以下資料。如貴公司在開戶過程中或其後的定期檢查中並沒有向我司提供該身份證明文件，請提供該身份證明文件的副本。

For corporate client/trustee of the trust account client 公司客户或信托客户

Priority 优先次序	Identification Document 身份证件类型	Yes <sup>2</sup> 是 <sup>2</sup>	No 否	If yes, please fill in details in the following descending order 如是, 请依以下列填写以下资料:
1 <sup>st</sup> 第一优先	LEI registration document 法律实体识别编码(LEI) 登记文件	<input type="checkbox"/>	<input type="checkbox"/>	LEI registration No. 法律实体识别编码
2 <sup>nd</sup> 第二优先	Certificate of incorporation 公司注册证明书	<input type="checkbox"/>	<input type="checkbox"/>	Certificate of incorporation No. 公司注册证明书号码  Place of Incorporation 公司注册证明书发出地
3 <sup>rd</sup> 第三优先	Business registration certificate 商业登记证	<input type="checkbox"/>	<input type="checkbox"/>	Business registration certificate No. 商业登记证号码  Place of issue of B.R. Cert. 商业登记证发出地
4 <sup>th</sup> 第四优先	Other relevant documents 其他同等文件	<input type="checkbox"/>	<input type="checkbox"/>	Please specify: 请注明:  No. and Place of issue of other relevant documents 其他同等文件之号码及发出地

Or 或

For Trustee of the trust account client 信托客户的受托人

Priority 优先次序	Identification Document 身份证件类型	Yes <sup>2</sup> 是 <sup>2</sup>	No 否	If yes, please fill in details in the following descending order 如是, 请依以下列填写以下资料:
1 <sup>st</sup> 第一优先	HKID card 香港身份证	<input type="checkbox"/>	<input type="checkbox"/>	HKID Card No. 香港身份证号码
2 <sup>nd</sup> 第二优先	National identification document 国民身分证明文件	<input type="checkbox"/>	<input type="checkbox"/>	National ID Card No. 国民身分证号码  Place of issue of National ID Card 国民身分证发出地
3 <sup>rd</sup> 第三优先	Passport 护照	<input type="checkbox"/>	<input type="checkbox"/>	Passport No. 护照号码  Place of issue of Passport 护照发出地

<sup>2</sup>If you tick Yes in 1<sup>st</sup> priority, you are not required to complete 2<sup>nd</sup> and 3<sup>rd</sup> priority, and so on.

<sup>2</sup>如选择第一优先为是, 则不用完成第二及第三优先, 如此类推。

<sup>3</sup> LEI refers to the Legal Entity Identifier which is a 20-character alpha-numeric code under the Global LEI System adopted by the Financial Stability Board to uniquely identify distinct legal entities which participate in financial transactions.

<sup>3</sup> 法律实体识别编码指 Legal entity identifier (简称: "LEI"), 即金融稳定委员会在全球 LEI 体系下采纳的 20 位字符代码, 旨在以独有的方式识别出参与金融交易的特定法律实体。

Yours faithfully, 此致

For Official Use Only		
S.V.	Inputted By	Approved By

Client Signature 客户签署

Please use signature(s) filed with us 请用留存于本行之签署式样