

To : China Galaxy International Securities (Hong Kong) Co., Limited
致 : (“Galaxy International Securities”)
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 No.					AE Code
C	M	F	K	Z	

ACCOUNT APPLICATION FORM – For Corporate Account

賬戶申請表 – 公司賬戶適用

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	Or 或	<input type="checkbox"/> Securities Margin Account 證券孖展賬戶 (融資賬戶)	<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			

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: Corporate Information

第一部份: 公司資料

1.1 Nature of Entity 公司性質

- ☐ Listed Company 上市公司 ☐ Limited Company 有限公司 ☐ Limited Partnership 有限責任合伙
☐ Trust 信託 ☐ Segregated Portfolio Company 獨立投資組合公司 ☐ Others 其他 _____

1.2 Company Information 公司資料

Company Name 公司名稱:		Name in Chinese(if any)中文名稱(如有):	
Country of Incorporation 註冊/成立國家:		Date of Incorporation 註冊成立日期: (yyyy 年) (mm 月) (dd 日)	
According to the Hong Kong Investor Identification Regime and the OTC Securities Transaction Reporting Regime, corporate clients are required to provide the relevant categories of identification documents in the following order of priority: (1) LEI; (2) Certificate of Incorporate No.; (3) Business Registration; (4) Other relevant documents 根據香港投資者識別碼制度及場外證券交易匯報制度, 公司客戶需按以下優先次序提供有關類別的身分證明: (1) LEI; (2) 公司註冊號碼; (3) 商業登記證; (4) 其他同等文件			
(1) Legal Entity Identifier registration No. 全球法人機構識別編碼登記號碼:		(2) Certificate of Incorporate No. 公司註冊號碼:	
(3) Business Registration Certificate No./Unique Business Identifier 商業登記證號碼/唯一業務識別碼:		(4) No. & Place of issue of other equivalent document (if no item 1, 2, 3) 其他同等文件之號碼及發出地 (如沒有文件 1、2、3):	
Registered office 註冊地址:			
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)			
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 _____			
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:	
(Country Code) Mobile Phone No: The first no. will be used for receiving SMS and trading password (國家區號) 手提電話號碼: 最先的號碼將會用作收取短訊及交易密碼		(Country Code) Office Tel. No.: (國家區號) 辦事處電話號碼:	(Country Code) Fax No: (國家區號) 傳真號碼:
1. () -			
2. () -			
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	
Electronic Trading Service(s) for Securities Cash/ Securities Margin/ Futures/ Stock Options Account(s)? 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		<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	
Deliver account correspondences 賬戶通訊 (Choose one only 只可選擇其一) (*The physical statement fee of each month is HKD10 *每個月的實物結單費用為港幣 10 元正) <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			

Nature of Business 業務性質: (please select one 只選一項)	<input type="checkbox"/> Agriculture 農業	<input type="checkbox"/> Gambling 博彩業	<input type="checkbox"/> Non-profit organization 非牟利機構		
	<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"/> Pawnshop 典當業		
	<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"/> Real Estate Agent 房地產經紀		
	<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"/> Retail 零售		
	<input type="checkbox"/> Construction 建造	<input type="checkbox"/> Legal 法律	<input type="checkbox"/> Trading/Wholesales 貿易/批發		
	<input type="checkbox"/> Education 教育	<input type="checkbox"/> Leisure/Entertainment/Culture 康樂/娛樂業/文化	<input type="checkbox"/> Transportation 運輸		
	<input type="checkbox"/> Engineering 工程	<input type="checkbox"/> Logistics 物流業	<input type="checkbox"/> Utilities 公共事業		
	<input type="checkbox"/> Financial Regulators/ ICAC/similar authority 金融監管機構/廉署/同類機構	<input type="checkbox"/> Manufacturing 製造業	<input type="checkbox"/> Virtual Currencies 虛擬貨幣		
	<input type="checkbox"/> Finance 金融	<input type="checkbox"/> Media/Marketing 媒體/市場營銷	<input type="checkbox"/> Weapon/Military Industry 軍火/軍工		
	<input type="checkbox"/> Food and Beverage 飲食業	<input type="checkbox"/> Medical 醫療	<input type="checkbox"/> Others (please state) 其他(請註明): _____		
	<input type="checkbox"/> Foreign Consulate Embassy 外國領事館	<input type="checkbox"/> Money Exchange/Remittance 貨幣兌換/匯款			
Source of Investment funds (you can choose more than one) 投資資金來源 (可多選) 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 500,001	<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\$) 總資產淨值 (約港元)	<input type="checkbox"/> Below 低於 1,000,001	<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\$ _____
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 500,001	<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 500,001	<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

(The Bank Account Name must be the same as Client's name and please provide Bank Account Proof (e.g. bank statement or bank passbook, etc)
銀行賬戶名稱須與客戶名稱相符及提供銀行戶口證明(例如銀行月結單或存摺等))

Bank Account Information for Account Holder 賬戶持有人銀行賬戶資料	
Bank of Name 銀行名稱：	Bank Account Name 銀行賬戶名稱：
Currency & Account No 貨幣及賬戶號碼：	
<input type="checkbox"/> HKD 港幣賬戶	<input type="checkbox"/> USD 美金賬戶
<input type="checkbox"/> Multi-Currency 綜合賬戶	<input type="checkbox"/> Others 其他
Country of Receiving Bank 收款銀行所在地：	
Bank Address 銀行地址： (If applicable 如適用)	SWIFT Code: 銀行國際代碼： (If applicable 如適用)

The ultimate beneficial owner(s) is/are individual
最終受益人或行使對該法團的管理最終的控制權為個人

→ Please Complete below
Particulars of Individual
Substantial Shareholder
請填寫以下個人大股東的資料

The ultimate beneficial owner is a listed company
公司最終大股東為上市公司

Company Name 公司名稱:

Exchange/Name of Regulator 交易所/
監管機構:

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：

(yyyy 年) (mm 月) (dd 日)

Gender 性別：

☐ Male 男 ☐ Female 女

Tel. No 電話號碼：

Shareholding Percentage 股權百分比：

Control percentage 控制權：

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)：
☐ No 否 ☐ 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：

Employment Details 就業情況：
☐ Self-employed/owner 自雇/雇主 ☐ Employee 雇員 ☐ Housewife 家庭主婦 ☐ Retired 退休 ☐ Unemployed 無業 ☐ Student 學生
☐ Others 其他

Name of Employer 受雇/自雇公司名稱

Position 職位

Year of Service 服務年期

Employer/Occupation Industry (please select one) 雇主/職業行業(只選一項):

☐ Agriculture 農業
☐ Art Piecework Trading 藝術品/古董買賣
☐ Beauty/Healthcare Service 美容/保健服務
☐ Business Services 商業服務

☐ Communications 通訊
☐ Construction 建造
☐ Education 教育
☐ Engineering 工程

☐ Financial Regulators/ ICAC/similar authority 金融監管機構/廉署/同類機構

☐ Finance 金融
☐ Food and Beverage 飲食業
☐ Foreign Consulate Embassy 外國領事館
☐ Gambling 博彩業

☐ Gems/Precious Metals/ Jewellery Trading 寶石/貴金屬/珠寶買賣
☐ Hotels/Travel 酒店/旅遊業
☐ Information Technology 資訊科技
☐ Insurance 保險

☐ Legal 法律

☐ Leisure/Entertainment/Culture 康樂/娛樂業/文化
☐ Logistics 物流業
☐ Manufacturing 製造業
☐ Media/Marketing 媒體/市場營銷

☐ Medical 醫療
☐ Money Exchange/Remittance 貨幣兌換/匯款
☐ Non-profit organization 非牟利機構
☐ Pawnshop 典當業

☐ Real Estate Agent 房地產經紀

☐ Real Estate Development 房地產開發
☐ Retail 零售
☐ Trading/Wholesales 貿易/批發
☐ Transportation 運輸

☐ Utilities 公共事業
☐ Virtual Currencies 虛擬貨幣
☐ Weapon/Military Industry 軍火/軍工

☐ Others (please state) 其他(請注明):

Source of Income (you can choose more than one)
收入來源 (可多選)

☐ Salary 薪金/工資
☐ Pension 退休金
☐ Commission 佣金
☐ Others 其他

☐ Savings 儲蓄
☐ Return on investment 投資回報
☐ Inheritance 繼承 / Gift 饋贈

☐ Business Profit 業務溢利
☐ Rent 租金
☐ Household Income 家用

Annual Income (HK\$)
每年收入(港元)

☐ Below 低於 200,001
☐ 200,001 – 500,000
☐ 500,001 – 1,000,000
☐ 1,000,001 – 5,000,000
☐ 5,000,001 – 10,000,000
☐ 10,000,001 – 30,000,000
☐ Above 高於 30,000,000

☐ Below 低於 500,001
☐ 500,001 – 1,000,000
☐ 1,000,001 – 5,000,000
☐ 5,000,001 – 10,000,000
☐ Above 高於 10,000,000

Total Net Worth (Approx. HK\$)
總資產淨值 (約港元)

☐ Below 低於 1,000,001
☐ 1,000,001 – 5,000,000
☐ 5,000,001 – 10,000,000
☐ 10,000,001 – 30,000,000
☐ Above 高於 30,000,000

☐ Below 低於 500,001
☐ 500,001 – 1,000,000
☐ 1,000,001 – 5,000,000
☐ 5,000,001 – 10,000,000
☐ Above 高於 10,000,000

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)

☐ Below 低於 500,001
☐ 500,001 – 1,000,000
☐ 1,000,001 – 5,000,000
☐ 5,000,001 – 10,000,000
☐ Above 高於 10,000,000

☐ Below 低於 500,001
☐ 500,001 – 1,000,000
☐ 1,000,001 – 5,000,000
☐ 5,000,001 – 10,000,000
☐ Above 高於 10,000,000

3

Ver. Nov 2024

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：		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			Control percentage 控制權：
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：	
Employment Details 就業情況：					
<input type="checkbox"/> Self-employed/owner 自雇/雇主 <input type="checkbox"/> Employee 雇員 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Unemployed 無業 <input type="checkbox"/> Student 學生					
<input type="checkbox"/> Others 其他					
Name of Employer 受雇/自雇公司名稱			Position 職位		Year of Service 服務年期
Employer/Occupation Industry (please select one) 雇主/職業行業(只選一項):					
<div><div><input type="checkbox"/> Agriculture 農業</div><div><input type="checkbox"/> Finance 金融</div><div><input type="checkbox"/> Leisure/Entertainment/Culture 康樂/娛樂業/文化</div><div><input type="checkbox"/> Real Estate Development 房地產開發</div><div><input type="checkbox"/> Art Piecework Trading 藝術品/古董買賣</div><div><input type="checkbox"/> Food and Beverage 飲食業</div><div><input type="checkbox"/> Logistics 物流業</div><div><input type="checkbox"/> Retail 零售</div><div><input type="checkbox"/> Beauty/Healthcare Service 美容/保健服務</div><div><input type="checkbox"/> Foreign Consulate Embassy 外國領事館</div><div><input type="checkbox"/> Manufacturing 製造業</div><div><input type="checkbox"/> Trading/Wholesales 貿易/批發</div><div><input type="checkbox"/> Business Services 商業服務</div><div><input type="checkbox"/> Gambling 博彩業</div><div><input type="checkbox"/> Media/Marketing 媒體/市場營銷</div><div><input type="checkbox"/> Transportation 運輸</div><div><input type="checkbox"/> Communications 通訊</div><div><input type="checkbox"/> Gems/Precious Metals/ Jewellery Trading 寶石/貴金屬/珠寶買賣</div><div><input type="checkbox"/> Medical 醫療</div><div><input type="checkbox"/> Utilities 公共事業</div><div><input type="checkbox"/> Construction 建造</div><div><input type="checkbox"/> Hotels/Travel 酒店/旅遊業</div><div><input type="checkbox"/> Money Exchange/Remittance 貨幣兌換/匯款</div><div><input type="checkbox"/> Virtual Currencies 虛擬貨幣</div><div><input type="checkbox"/> Education 教育</div><div><input type="checkbox"/> Information Technology 資訊科技</div><div><input type="checkbox"/> Non-profit organization 非牟利機構</div><div><input type="checkbox"/> Weapon/Military Industry 軍火/軍工</div><div><input type="checkbox"/> Engineering 工程</div><div><input type="checkbox"/> Insurance 保險</div><div><input type="checkbox"/> Pawnshop 典當業</div><div><input type="checkbox"/> Others (please state) 其他(請注明):</div><div><input type="checkbox"/> Financial Regulators/ ICAC/similar authority 金融監管機構/廉署/同類機構</div><div><input type="checkbox"/> Legal 法律</div><div><input type="checkbox"/> Real Estate Agent 房地產經紀</div></div>					
Source of Income (you can choose more than one) 收入來源 (可多選)	<input type="checkbox"/> Salary 薪金/工資		<input type="checkbox"/> Savings 儲蓄		<input type="checkbox"/> Business Profit 業務溢利
	<input type="checkbox"/> Pension 退休金		<input type="checkbox"/> Return on investment 投資回報		<input type="checkbox"/> Rent 租金
	<input type="checkbox"/> Commission 佣金		<input type="checkbox"/> Inheritance 繼承 / Gift 饋贈		<input type="checkbox"/> Household Income 家用
	<input type="checkbox"/> Others 其他				
Annual Income (HK\$) 每年收入(港元)	<input type="checkbox"/> Below 低於 200,001	<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
Total Net Worth (Approx. HK\$) 總資產淨值 (約港元)	<input type="checkbox"/> Below 低於 1,000,001	<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\$
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 500,001	<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\$

1.6 Particulars of Company Director(s) or Trustee(s)/Settlor(s)/Protector(s) and or Enforcer(s) related of a Trust (Individual / Corporate) 公司董事或信託相關受託人/委託人/保護人/執行人的詳情 (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: _____ Capacity 身份: _____	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: _____ Capacity 身份: _____	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: _____ Capacity 身份: _____	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: _____
4. Name/ Name of Corp. 姓名/公司名稱: English(英文): _____ Residential Address/ Address 住址/地址: _____ Capacity 身份: _____	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: _____
5. Name/ Name of Corp. 姓名/公司名稱: English(英文): _____ Residential Address/ Address 住址/地址: _____ Capacity 身份: _____	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: _____

1.7 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)			

Part 2: Self Certification
(Applicable to Automatic Exchange of Financial Account Information (“AEOI”) and Foreign Account Tax Compliance Act (“FATCA”))
第二部份：自我證明
(適用於自動交換財務帳戶資料(AEOI)及美國外國帳戶稅務合規法案(FATCA))

2.1 Entity 實體帳戶

Part 1 Automatic Exchange of Financial Account Information
第一部 自動交換財務帳戶資料(AEOI)

Important Notes: 重要提示:

- This is a self-certification form provided by an account holder to Galaxy International Securities and/or Galaxy International Futures for the purpose of automatic exchange of financial account information. The data collected may be transmitted by Galaxy International Securities and/or Galaxy International Futures to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
這是由帳戶持有人及控權人向銀河國際證券及/或銀河國際期貨提供的自我證明表格，以作自動交換財務帳戶資料用途。銀河國際證券及/或銀河國際期貨可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- An account holder should report all changes in his/her tax residency status or other information (if necessary) to Galaxy International Securities and/or Galaxy International Futures as soon as practicable.
如帳戶持有人及控權人的稅務居民身分或其他資料有所改變，應盡快將所有變更通知銀河國際證券及/或銀河國際期貨。
- All parts of this form must be completed (except for those not applicable or otherwise specified). If there is not enough space, you may provide your information on additional sheet(s).
除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。

I. Entity Type 實體類別

Tick one of the appropriate boxes and provide the relevant information 在其中一個適當的方格內加上✓號，並提供有關資料。

Financial Institution 財務機構	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司 <input type="checkbox"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction 投資實體，但不包括由另一財務機構管理(例如：擁有酌情權管理投資實體的資產)並位於非參與稅務管轄區的投資實體
Active NFE 主動非財務實體	<input type="checkbox"/> NFE the stock of which is regularly traded on _____ which is an established securities market 該非財務實體的股票經常在_____ (一個具規模證券市場)進行買賣 <input type="checkbox"/> Related entity of _____ the stock of which is regularly traded on _____, which is an established securities market _____ 的有關連實體，該有關連實體的股票經常在_____ (一個具規模證券市場)進行買賣 <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="checkbox"/> Active NFE other than the above (Please specify _____) 除上述以外的主動非財務實體(請說明_____)
Passive NFE 被動非財務實體	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction. 位於非參與稅務管轄區並由另一財務機構管理的投資實體 <input type="checkbox"/> NFE that is not an active NFE 不屬主動非財務實體的非財務實體

II. Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)
居留司法管轄區及稅務編號或具有等同功能的識別編號 (以下簡稱「稅務編號」)

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a **resident for tax purposes**; and (b) the account holder's TIN for each jurisdiction. Indicate **all** jurisdictions of residence.

提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區(香港包括在內)及 (b)該居留司法管轄區發給帳戶持有人的稅務編號。列出**所有**居留司法管轄區。

If the account holder is a tax resident of Hong Kong the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable provide the appropriate reason A, B or C.
如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由：

Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
理由 A - 帳戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

Reason B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.
理由 B - 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.
理由 C - 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因
1.			
2.			
3.			

Part 2 Foreign Account Tax Compliance Act 第二部 美國外國帳戶稅務合規法案(FATCA)

Disclaimer: 免責聲明:

- The account holder is advised to refer to the US IRS website (<http://www.irs.gov/>) for details in respect of FATCA. 帳戶持有人如要瞭解 FATCA 法案詳情，閣下可參閱美國國家稅務局網站 (<http://www.irs.gov/>) 資訊。
- The account holder shall be fully responsible for the confirmation of his/her/its FATCA status and other information submitted hereunder. 帳戶持有人應對其確認的 FATCA 身份及在本文件內提供的其他信息承擔全部責任。
- The account holder shall ensure the information given and statements made in this form are true, correct and complete, Galaxy International Securities and/or Galaxy International Futures shall not be liable for any errors or loss that results from such information and statements. 帳戶持有人應確保於本表格內所填報的所有資料和聲明真實、正確和完備。銀河國際證券及/或銀河國際期貨不對該等資料和聲明的任何錯誤或導致的任何損失承擔任何責任。
- Galaxy International Securities and/or Galaxy International Futures unable to offer any tax or legal advice to the account holder. For any related question, the account holder is advised to consult his/her/its tax and legal advisors. 銀河國際證券及/或銀河國際期貨不能向帳戶持有人提供任何稅務及法律意見。如有相關疑問，請帳戶持有人聯絡其稅務及法律顧問。

Which of the following statements best describes you? Please select only 1 of the followings from category A or B.

以下哪一項陳述最切合 貴公司的情況？請選擇以下 A 組或 B 組的其中一個選項。

U.S. Entities 美國實體	
If you are incorporated, established, constituted or organized in the U.S., please complete and submit U.S. IRS Form W9. 如貴公司於美國註冊成立、設立、構成或組成，請填寫並遞交美國國稅局表格 W9。	U.S. Entities 美國實體

A. Financial Institution 金融機構

You are financial institution, and 貴公司屬金融機構，及

<input type="checkbox"/>	<p>You are 貴公司屬</p> <p><input type="checkbox"/> Participating FFI 參與的外國金融機構</p> <p><input type="checkbox"/> Registered deemed-compliant FFI 已註冊的視作合規外國金融機構</p> <p><input type="checkbox"/> Reporting Model 1 FFI 跨政府協議版本一之須申報外國金融機構</p> <p><input type="checkbox"/> Reporting Model 2 FFI 跨政府協議版本二之須申報外國金融機構</p> <p>Global Intermediary Identification Number(GIIN _____</p> <p>全球中介人識別號碼為： _____</p>	<p>Participating FFI/ Reporting Model 1 FFI/ Reporting Model 2 FFI 參與的外國金融機構／版本一之須申報外國金融機構／版本二之須申報外國金融機構</p>
<input type="checkbox"/>	<p>You are a Non-Participating FFI 貴公司屬非參與的外國金融機構。</p>	<p>Non-Participating FFI 非參與的外國金融機構</p>
<input type="checkbox"/>	<p>You are none of the above and please complete and submit the appropriate U.S. IRS Form W-8. 貴公司不符合上述任何一項，在此情況下請填寫及遞交適當的美國國稅局表格 W-8。</p>	

B. Non-Financial Institution 非金融機構

You are NOT a financial institution and 貴公司屬非金融機構，及

<input type="checkbox"/>	<p>Active Business 有實質業務活動的機構</p> <ul style="list-style-type: none"> You derive at least 50% of your gross income (for the previous calendar year) from these business activities and not from passive income such as investments, dividends, interests, rents or royalties, and 貴公司至少 50%總收入(以上一個曆年計)來自營業活動而非被動收入, 例如: 投資、股息、利息、租金或權利金, 及 At least 50% of the weighted average percentage of assets held by you (tested quarterly, using fair market value or book value of assets as reflected in your balance sheet) produce or are held to produce income for these business activities 貴公司所持有之加權平均資產(每個季度於資產負債表依照資產的公允市價或賬面價值計算)至少有 50%會產出或用以產出這些營業活動的收入 	<p>Active Non-Financial Foreign Entity 有實質業務活動的非金融外國實體</p>									
<input type="checkbox"/>	<p>Passive Investment 主要為被動投資收入的機構</p> <ul style="list-style-type: none"> You derive more than 50% of your gross income (for the previous calendar year) from income such as investments, dividends, interests, rents or royalties, and 貴公司超過 50%總收入(以上一個曆年計)來自被動收入, 例如: 投資、股息、利息、租金或權利金, 及 <ul style="list-style-type: none"> <input type="checkbox"/> You do not have substantial U.S. Owners who own at least 25% of your entity 貴公司並無屬於美國的主要股東(擁有貴公司最少 25%股權) <input type="checkbox"/> You have substantial U.S. Owners who own at least 25% of your entity, please fill up the following table 貴公司有屬於美國的主要股東(擁有貴公司最少 25%股權), 如此項適用請填妥以下表格 <table border="1" data-bbox="178 1664 1149 1794"> <thead> <tr> <th>Name of substantial U.S. Owner 主要美國股東姓名</th> <th>Address 地址</th> <th>TIN TIN 納稅人識別編號</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Name of substantial U.S. Owner 主要美國股東姓名	Address 地址	TIN TIN 納稅人識別編號							<p>Passive Non-Financial Foreign Entity 主要為被動收入的非金融外國實體/</p> <p>Passive Non-Financial Foreign Entity with US Controlling Persons 主要為被動收入的非金融外國實體而擁有美國股東</p>
Name of substantial U.S. Owner 主要美國股東姓名	Address 地址	TIN TIN 納稅人識別編號									
<input type="checkbox"/>	<p>You are none of the above and please complete and submit the appropriate U.S. IRS Form W-8. 貴公司不符合上述任何一項, 在此情況下請填寫及遞交適當的美國國稅局表格 W-8。</p>										

2.2 Controlling Person 控權人

Part 1 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)
第一部分 居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）

To be completed by entity that is classified as a Passive NFE/NFFE (including an Investment Entity located in an AEOI Non-Participating Jurisdiction and managed by another Financial Institution that is reclassified as a Passive NFE).
此部分只供被分類為被動非財務(海外)實體填寫(包括被重新分類為被動非財務實體之位於非參與稅務管轄區並由另一財務機構管理的投資實體)。

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes; and (b) the account holder’s TIN for each jurisdiction. Indicate all (not restricted to five) jurisdictions of residence.
提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區(香港包括在內)及 (b)該居留司法管轄區發給帳戶持有人的稅務編號。列出所有(不限於 5 個)居留司法管轄區。

If the account holder is a tax resident of Hong Kong the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable provide the appropriate reason A, B or C.
如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由：

- Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
理由 A - 帳戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。
- Reason B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.
理由 B - 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。
- Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.
理由 C - 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Table with 4 columns: Name of Controlling person(“CP”) 控權人之姓名, All Jurisdiction of Residence of CP 控權人居留司法管轄區, TIN for all Jurisdiction of Residence of CP 控權人稅務編號, Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫理由 A、B 或 C (Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因)

Part 2 Type of Controlling Person
第二部分 控權人類別

Tick the appropriate box(es) to indicate the type of controlling person stated in Part 1.
就第一部所載的每個控權人，在適當方格內加上✓號，指出所有控權人類別。

Table with 5 columns: Type of Entity 實體類別, Type of Controlling Person 控權人類別, CP 控權人 (1), CP 控權人 (2), CP 控權人 (3)

WARNING: 警告:

For the purpose of AEOL, it is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. HK\$10,000).

為實現和遵守自動交換財務帳戶資料(AEOL)的原則，根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即港元 10,000）罰款。

Please complete this self-certification form carefully. Please refer to the information on the website of Hong Kong Inland Revenue Department http://www.ird.gov.hk/eng/tax/dta_aeol.htm or the website of OECD <http://www.oecd.org/tax/automatic-exchange/> or US IRS website <http://www.irs.gov/> and consult your tax, legal and/or other professional advisers if you have any questions on or in relation to AEOL, FATCA, any of the U.S. IRS form (including which U.S. IRS form to complete and submit) or this self-certification form.

請小心填寫本自我證明表格。如閣下對於自動交換財務帳戶資料(AEOL)或 FATCA、任何美國國稅局表格(包括需填寫及遞交哪一份美國國稅局表格)或本自我證明表格有任何疑問，請查詢香港稅務局網站 http://www.ird.gov.hk/chi/tax/dta_aeol.htm 或 OECD 網站 <http://www.oecd.org/tax/automatic-exchange/> 或 美國國家稅務局網站 (<http://www.irs.gov/>) 及諮詢閣下之稅務、法律及／或其他專業顧問。

Part 3: Personal Information Collection Statement

第三部份：個人資料收集聲明

- 3.1 ☐ I/We acknowledge and agree that CGIS may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our CID and BCAN(s)) to the SFC, SEHK and/or HKSCC as required for CGIS to provide services to me/us in relation to securities listed or traded on

the SEHK and for complying with the rules and requirements of SEHK and the SFC in effect from time to time. I/we have read and understand the content of Notes Relating to Personal Data Privacy Policy regarding New Investor Identification Regime under Part K, 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.

本人(等)明白及同意為向本人/吾等提供與在聯交所上市或買賣的證券相關的服務，以及為遵守不時生效的聯交所與證監會的規則和規定，銀河國際證券可收集、儲存、處理、使用、披露及轉移與本人/吾等有關的個人資料（包括本人/吾等的客戶識別信息及券商客戶編碼）給證監會、聯交所及或結算所。本人(等)已閱讀及明白給予客戶載於賬戶協議書內子部有關個人資料私隱政策之附註及附錄及其所述的目的使用本人(等)的個人資料。

- 3.2 Will you participate in Northbound China Connect trading? (Not Applicable to Mainland Investors)

客戶是否參與中華通北向交易？(不適用於內地投資者)

☐ 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 K, 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子部有關投資者識別制度的內容。本人(等)同意銀河國際證券可根據有關個人資料私隱政策之附註及附錄及其所述的目的使用本人(等)的個人資料。

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

☐ 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 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 35% or above of the voting right of the client who maintain(s) account with Galaxy International Group?

控制客戶 35%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 35% 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 35%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 PPTA, 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/或看似代表該名客戶行事的人士、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土為：

☐ 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土或上述之投資經理。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人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土或上述之投資經理。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)：

CLIENT DECLARATION 客戶聲明：

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) 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。

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.

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。

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)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。

4. I/We hereby declare that (a) 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. And (b) I am/we are the ultimate beneficial owner of this account who stands to gain the economic benefit and bear the economic risk of the transactions.

本人(等)聲明：(a) 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。(b) 本人(等)是將會從交易取得經濟利益及承擔其經濟風險的本賬戶最終受益人。

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 above form regarding my/our FATCA and CRS status are true, accurate and complete.
本人(等)聲明以上有關於本人(等)的 FATCA 及 CRS 狀況自我證明的資料均屬真實、準確及完整。
10. I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Galaxy International Securities and/or Galaxy International Futures for the purpose of automatic exchange of financial account information; and (b) such information and information regarding the account holder and any reportable account(s) may be reported by Galaxy International Securities and/or Galaxy International Futures to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).
本人知悉及同意，銀河國際證券及/或銀河國際期貨可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(a)收集本表格所載資料並可備存作自動交換財務帳戶資料用途；及(b)把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。
11. I undertake to advise Galaxy International Securities and/or Galaxy International Futures of any change in any information or any circumstances which affects the tax residency status of the entity and/or individual identified in this form or causes the information contained herein to become incorrect, and to provide Galaxy International Securities and/or Galaxy International Futures with a suitably updated self-certification form within 30 days of such change in circumstances or information.
本人承諾，如任何資料有任何變更，或如情況有所改變，以致影響本表格所述的實體及/或個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知銀河國際證券及/或銀河國際期貨，並會在情況發生改變後或資料變更後之 30 日內向銀河國際證券及/或銀河國際期貨提交一份已適當更新的自我證明表格。
12. I/We confirm that I/we agree to authorize Galaxy International Securities and/or Galaxy International Futures to deal with my money in accordance with the Client Money Standing Authority below:

Authority under Securities and Futures (Client Money) Rules in relation to client money

This letter of authority covers money held or received by you in Hong Kong (including any interest derived from the holding of the money which does not belong to you) in one or more segregated account(s) on my/our behalf ("Monies").

Unless otherwise defined, all the terms used in this authorization letter shall have the same meanings as the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time.

This letter authorizes you to:

1. Combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by you, i.e. Galaxy International Securities and/or Galaxy International Futures and/or China Galaxy International Financial Holdings Limited and/or any of its subsidiaries from time to time ("Galaxy International Group") and you may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to any member of the Galaxy International Group, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured, or joint or several; and
2. Transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by any member of Galaxy International Group; and
3. Transfer any sum of Monies to the client account(s) of any clearing firm(s) or financial institution(s) in Hong Kong or overseas for the purpose of trading or meeting the settlement or my/our financial obligations in my/our trading in Hong Kong or overseas through that clearing firm(s) or financial institution(s); and
4. Exchange my/our money into any other currency(ies).

You may do any of the above without giving me/us prior notice.

The authority is given to China Galaxy International Securities (Hong Kong) Co., Limited and/or China Galaxy International Futures (Hong Kong) Co., Limited in consideration of its agreeing to continue to maintain securities cash and/or margin account(s) and/or stock options account(s) and/or futures account(s) for me/us. The authority is given without prejudice to other authorities or rights which Galaxy International Group may have in relation to dealing in the Monies in the segregated accounts.

This Authority is valid for a period of 12 months from the date of this letter.

This authority may be revoked by giving you written notice addressed to the Customer Service Department at your address specified above. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice.

I/we understand that this authority shall be deemed to be renewed on a continuing basis without my/our written consent if you issue me/us a written reminder at least 14 days prior to the expiry date of this authority, and I/we do not object to such deemed renewal before such expiry date.

I/We hereby agree to indemnify the Company and keep the Company indemnified, from and against all losses, damages, interests, costs, expenses, actions, demands, claims or litigation which the Company may incur as a consequence of any transaction under this standing authority.

本人(等)確認本人(等)同意授權銀河國際證券及/或銀河國際期貨根據以下客戶款項常設授權處置本人(等)的金錢

根據《證券及期貨(客戶款項)規則》關於客戶款項所設立之常設授權

本授權書涵蓋爾等為本人/吾等在香港收取或持有並存放於一個或多個獨立帳戶內的款項(包括因持有並非屬於爾等的款項而產生之任何利息)(下稱「款項」)。

除非另有說明，本授權書之名詞與證券及期貨條例及證券及期貨(客戶款項)規則不時修訂之定義具有相同意思。

本授權書授權爾等：

1. 組合或合併爾等，即銀河國際證券及/或銀河國際期貨及/或中國銀河國際金融控股有限公司及/或其任何附屬公司(下稱「銀河國際集團」)所維持的任何或全部獨立帳戶，此等組合或合併活動可以個別地或與其他帳戶聯合進行，爾等可將該等獨立帳戶內任何數額之款項作出轉移，以解除本人/吾等對銀河國際集團內任何成員的義務或法律責任，不論此等義務和法律責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的；及
2. 從銀河國際集團任何成員於任何時候維持的任何獨立帳戶之間來回調動任何數額之款項；及
3. 轉帳任何數額之款項至任何香港或海外清算行或金融機構的客戶帳戶，以應付交易用途、交收或本人/吾等經該清算行或金融機構所要履行的

財務責任；

4. 將本人/吾等的款項兌換至任何貨幣。

爾等可不向本人/吾等預先發出通知而採取上述行動。

此賦予中國銀河國際證券(香港)有限公司及/或中國銀河國際期貨(香港)有限公司之授權乃鑑於上述兩間公司同意繼續維持本人/吾等之證券現金及/或保證金賬戶及/或股票期權賬戶及/或期貨賬戶。此賦予爾等之授權並不損害銀河國際集團可享有有關處理該等獨立賬戶內款項的其他授權或權利。本授權書的有效期限為 12 個月，自本授權書之日起計生效。

本人/吾等可以向爾等客戶服務部位於上述所列明之地址發出書面通知，撤回本授權書。該等通知之生效日期為爾等真正收到該等通知後之 14 日起計。

本人/吾等明白爾等若在本授權書的有效期限屆滿前 14 日之前，向本人/吾等發出書面通知，提醒本人/吾等本授權書即將屆滿，而本人/吾等沒有在此授權屆滿前反對此授權續期，本授權書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。

本人/吾等謹此同意賠償貴公司及使貴公司因根據本常設授權進行任何交易而可能蒙受及/或招致的一切損失、賠償、利息、費用、開支、法律行動、付款要求、申索或訴訟獲得賠償。

13. (For Margin Account Client Only)

I/We confirm that I/we agree to authorize Galaxy International Securities to deal with my securities in accordance with the Client Securities Standing Authority below:

Standing Authority under Securities & Futures (Client Securities) Rules

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)**”):

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.

This standing authority constitutes a standing authority under the Securities & Futures (Client Securities) Rules and authorizes you to:

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;
2. deposit any of my/our securities collateral with an authorized financial institution as collateral accommodation provide to you;
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;
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
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.

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.

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.

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

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.

This standing authority is valid for a period of 12 months. 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.

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.

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.

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

(只適用於保證金戶口客戶)

本人(等)確認本人(等)同意授權銀河國際證券根據以下客戶證券常設授權處置本人(等)的證券

根據《證券及期貨(客戶證券)規則》所設立的常設授權

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：

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

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. 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/吾等的證券式證券抵押品；
2. 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. 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. 將任何本人/吾等的證券抵押品存放於任何其他認可結算所或任何其他獲發牌或獲註冊進行證券交易的仲介人，作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品；及
5. 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。

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。

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。

此賦予貴公司之授權乃鑒於貴公司同意繼續維持本人／吾等之證券保證金戶口。

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。

本常設授權的有效期為 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。

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）。

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。

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。

Signature 簽署

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

Name 姓名:

Date 日期:

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

To be certified by registered person of Galaxy International Group, 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).

由銀河國際集團的註冊人、香港證監會持牌或註冊之人士、銀河國際集團其屬於受規管金融機構的聯繫人士或專業人士（如、執業會計師、律師、公證人或信託或公司服務持牌人）核證。

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

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

核證人簽字

Name 姓名:

Contact Tel. 聯絡電話:

Date 日期:

Contact Address 聯絡地址:

Profession 職業: ☐ CGI 持牌人 ☐ Certified Public Accountant 專業會計師 ☐ 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。

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 ☐ 證券 Securities ☐ 期貨 Futures

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

Account Opening Approach 開立帳戶方式：

☐ In-person 親身 ☐ Certified by professional persons 專業人士見證

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

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

Stock Options 股票期權	Commission Rate 佣金率(%)	
	%, Min	

For Futures Transactions 如屬期貨買賣：

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

VC ☐No ☐Yes
Share Contact ☐No ☐Yes, A/C _____

Special Considerations & Comments 特別考慮因素及意見：	Signature of AE 客戶主任簽名	Approval:

Remarks 備註：			
Document check by:	Input by:	Check & system approved by	Scan by: