

To: China Galaxy International Securities (Hong Kong) Co., Limited  
致: (“Galaxy International Securities”) 中国银河国际证券(香港)有限公司 (「银河国际证券」)  
CE No. / 证监会中央编号: AXM 459  
China Galaxy International Futures (Hong Kong) Co., Limited  
 (“Galaxy International Futures”) 中国银河国际期货(香港)有限公司 (「银河国际期货」)  
CE No. / 证监会中央编号: AYH 772

Account No.					AE Code
C	M	F	K	Z	

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

I/We hereby request to open the following trading accounts (please tick where applicable):  
本人(等)特此申请开立以下交易账户(请在适当地方加上别号):

With Galaxy International Securities 于银河国际证券	<input type="checkbox"/> Securities Cash A/C Or 证券现金账户 或	<input type="checkbox"/> Securities Margin A/C 证券孖展账户	<input type="checkbox"/> Stock Options A/C 股票期权账户	<input type="checkbox"/> HK 香港 <input type="checkbox"/> US 美国
With Galaxy International Futures 于银河国际期货	<input type="checkbox"/> Futures A/C 期货账户			

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

**Part 1: Corporate Information**  
**第一部份: 公司资料**

**1.1 Nature of Entity 公司性质**

<input type="checkbox"/> Listed Company 上市公司	<input type="checkbox"/> Limited Company 有限公司	<input type="checkbox"/> Limited Partnership 有限合伙
<input type="checkbox"/> Trust 信托	<input type="checkbox"/> Segregated Portfolio Company 独立投资组合公司	<input type="checkbox"/> Others 其他 _____

**1.2 Company Information 公司资料**

Company Name 公司名称:		Name in Chinese(if any)中文名称(如有):	
Country of Incorporation 注册/成立国家:		Date of Incorporation 注册成立日期: (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 根据香港投资者识别码制度及场外证券交易汇报制度, 公司客户需按以下优先次序提供有关类别的身分证明: (1) LEI; (2) 公司注册号码; (3) 商业登记证; (4) 其他同等文件			
(1) Legal Entity Identifier registration No. 全球法人机构识别编码登记号码:		(2) Certificate of Incorporate No. 公司注册号码:	
(3) Business Registration Certificate No./Unique Business Identifier 商业登记证号码 /唯一业务识别码:		(4) No. & Place of issue of other equivalent document (if no item 1, 2, 3) 其他同等文件之号码及发出地 (如没有文件 1、2、3):	
Registered office 注册地址:			
Permanent Address / Principal place of business (if different from the registered office) 永久地址 / 总办事处地址 (如异于注册地址) (No P.O. Box Please 请勿填上邮政信箱)			
Correspondence Address 通讯地址: <input type="checkbox"/> Registered Office 注册地址 <input type="checkbox"/> Permanent Address / Principal place of business 永久地址 / 总办事处地址			
<input type="checkbox"/> Other 其他 _____			
Country of Business Address 营业地址国家:		Location of Counterparties with whom the Company conducts business 与公司有业务往来的交易对手所在地:	
(Country Code) Mobile Phone No: The first no. will be used for receiving SMS and trading password (国家区号) 手提电话号码: 最先的号码将会用作收取短讯及交易密码		(Country Code) Office Tel. No.: (国家区号) 办事处电话号码:	
1. ( ) -		(Country Code) Fax No.: (国家区号) 传真号码:	
2. ( ) -			
Email Address 电邮地址:		Language selection for statements 结单语言选择: <input type="checkbox"/> 繁体中文 <input type="checkbox"/> 简体中文 <input type="checkbox"/> English	
Electronic Trading Service(s) for Securities Cash/ Securities Margin/ Futures/ Stock Options Account(s)? 选用电子交易服务于证券现金/ 证券孖展/ 期货/ 股票期权 账户? *Trading Password will be sent to the registered account correspondences email address *交易密码将发送到账户通讯登记电邮地址		<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	
Deliver account correspondences 账户通讯 (Choose one only 只可选择其一) (*The physical statement fee of each month is HKD10 *每个月的实物结单费用为港币 10 元正)			
<input type="checkbox"/> By mail to correspondence address 邮寄至通讯地址		<input type="checkbox"/> By Internet to the above email address 以互联网送至以上电邮地址	



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

Nature of Business 业务性质: (please select one 只选一项)	<input type="checkbox"/> Agriculture 农业	<input type="checkbox"/> Gambling 博彩业	<input type="checkbox"/> Non-profit organization 非牟利机构
	<input type="checkbox"/> Art Piecework Trading 艺术品/古董买卖	<input type="checkbox"/> Gems/Precious Metals/Jewellery Trading 宝石/贵金属/珠宝买卖	<input type="checkbox"/> Pawnshop 典当业
	<input type="checkbox"/> Beauty/Healthcare Service 美容/保健服务	<input type="checkbox"/> Hotels/Travel 酒店/旅游业	<input type="checkbox"/> Real Estate Agent 房地产经纪
	<input type="checkbox"/> Business Services 商业服务	<input type="checkbox"/> Information Technology 资讯科技	<input type="checkbox"/> Real Estate Development 房地产开发
	<input type="checkbox"/> Communications 通讯	<input type="checkbox"/> Insurance 保险	<input type="checkbox"/> Retail 零售
	<input type="checkbox"/> Construction 建造	<input type="checkbox"/> Legal 法律	<input type="checkbox"/> Trading/Wholesales 贸易/批发
	<input type="checkbox"/> Education 教育	<input type="checkbox"/> Leisure/Entertainment/Culture 康乐/娱乐业/文化	<input type="checkbox"/> Transportation 运输
	<input type="checkbox"/> Engineering 工程	<input type="checkbox"/> Logistics 物流业	<input type="checkbox"/> Utilities 公共事业
	<input type="checkbox"/> Financial Regulators/ ICAC/similar authority 金融监管机构/廉署/同类机构	<input type="checkbox"/> Manufacturing 制造业	<input type="checkbox"/> Virtual Currencies 虚拟货币
	<input type="checkbox"/> Finance 金融	<input type="checkbox"/> Media/Marketing 媒体/市场营销	<input type="checkbox"/> Weapon/Military Industry 军火/军工
	<input type="checkbox"/> Food and Beverage 饮食业	<input type="checkbox"/> Medical 医疗	Others (please state) 其他(请注明): <input type="checkbox"/> _____
	<input type="checkbox"/> Foreign Consulate Embassy 外国领事馆	<input type="checkbox"/> Money Exchange/Remittance 货币兑换/汇款	

Source of Investment funds (you can choose more than one) 投资资金来源 (可多选) The source of initial and expected deposits to China Galaxy International for investment 初始存入及预期存入中国银河国际以作投资的资金来源	<input type="checkbox"/> Business Profit 业务溢利	<input type="checkbox"/> Funds from related company 关联公司的资金	<input type="checkbox"/> Loan 贷款
	<input type="checkbox"/> Funds from Shareholders 股东的资金	<input type="checkbox"/> Return on Investment 投资回报	<input type="checkbox"/> Others 其他 _____

Annual Income (HK\$) 每年收入 (港元)	<input type="checkbox"/> Below 低于 500,001	<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 高于 10,000,000
Total Net Worth (Approx. HK\$) 总资产净值 (约港元)	<input type="checkbox"/> Below 低于 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 高于 30,000,000 Approx 约 HK\$ _____
Liquid Net Worth - excluded property, automobile and insurance (Approx. HK\$) 流动资产净值 - 不包括物业, 汽车及保险(约港元)	<input type="checkbox"/> Below 低于 500,001	<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 高于 10,000,000 Approx 约 HK\$ _____
Estimated Investment Amount (HK\$) 估计投资金额 (港元)	<input type="checkbox"/> Below 低于 500,001	<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 高于 10,000,000

### 1.4 Client Standing Settlement Bank Account 客户常设交收银行账户

(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) 银行账户名称须与客户名称相符及提供银行账户证明(例如银行月结单或存折等))

Bank Account Information for Account Holder 账户持有人银行账户资料	
Bank of Name 银行名称:	Bank Account Name 银行账户名称:
Currency & Account No 货币及账户号码:	
<input type="checkbox"/> HKD 港币账户 _____	<input type="checkbox"/> USD 美金账户 _____
<input type="checkbox"/> Multi-Currency 综合账户 _____	<input type="checkbox"/> Others 其他 _____
Country of Receiving Bank 收款银行所在地:	
Bank Address 银行地址: (If applicable 如适用)	SWIFT Code: 银行国际代码: (If applicable 如适用)

**1.5 Particulars of the ultimate beneficial owner / exercises ultimate control over the management of the corporation, directly or indirectly holding 25% or more shares or exercising the control of 25% or more voting rights of the Company.**

**最终受益人或行使对该法团的管理最终的控制权(直接或间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权的大股东)的资料**

The ultimate beneficial owner(s) is/are individual 最终受益人或行使对该法团的管理最终的控制权为个人	→ Please Complete below <u>Particulars of Individual Substantial Shareholder</u> 请填写以下个人大股东的资料	The ultimate beneficial owner is a listed company 公司最终大股东为上市公司	Company Name 公司名称:  Exchange/Name of Regulator 交易所/监管机构:
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**Particulars of Individual Substantial Shareholder (1) 个人大股东的资料(一)**

Name in English (Surname First) as per your ID Card/Passport 英文姓名(先写姓氏), 姓名必须与阁下的身份证/护照的纪录相符: \_\_\_\_\_ Name in Chinese 中文姓名: \_\_\_\_\_

ID Card /Passport No. 身份证/护照号码: (Please enclose copy 请附副本) \_\_\_\_\_ Issuing Country 签发国家: \_\_\_\_\_ Nationality 国籍: \_\_\_\_\_

Date of Birth 出生日期: _____ (yyyy 年) (mm 月) (dd 日)	Gender 性别: <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女	Tel. No 电话号码: _____	Shareholding Percentage 股权百分比: _____	Control percentage 控制权: _____
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Identity of U.S. Person 美国人身份 (i.e. U.S. Citizen, U.S. Resident, U.S. Passport or Green Card Holder 如: 美国公民, 美国居民, 美国护照或绿卡持有人):

No 否  Yes 是 : Tax Identification Number 税务身份号码 (TIN): \_\_\_\_\_

Permanent / Residential Address 永久/居住地址 (No P.O. Box Please 请勿填上邮政信箱): \_\_\_\_\_ Country of Residence 居住国家: \_\_\_\_\_

**Employment Details 就业情况:**

Self-employed/owner 自雇/雇主  
  Employee 雇员  
  Housewife 家庭主妇  
  Retired 退休  
  Unemployed 无业  
  Student 学生  
 Others 其他 \_\_\_\_\_

Name of Employer 受雇/自雇公司名称	Position 职位	Year of Service 服务年期
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Employer/Occupation Industry (please select one) 雇主/职业行业(只选一项):

- |  |  |  |   |
|--|--|--|---|
| <input type="checkbox"/> Agriculture 农业  | <input type="checkbox"/> Finance 金融  | <input type="checkbox"/> Leisure/Entertainment/Culture 康乐/娱乐业/文化 | <input type="checkbox"/> Real Estate Development 房地产开发        |
| <input type="checkbox"/> Art Piecework Trading 艺术品/古董买卖                              | <input type="checkbox"/> Food and Beverage 饮食业                               | <input type="checkbox"/> Logistics 物流业                           | <input type="checkbox"/> Retail 零售                            |
| <input type="checkbox"/> Beauty/Healthcare Service 美容/保健服务                           | <input type="checkbox"/> Foreign Consulate Embassy 外国领事馆                     | <input type="checkbox"/> Manufacturing 制造业                       | <input type="checkbox"/> Trading/Wholesales 贸易/批发             |
| <input type="checkbox"/> Business Services 商业服务                                      | <input type="checkbox"/> Gambling 博彩业  | <input type="checkbox"/> Media/Marketing 媒体/市场营销                 | <input type="checkbox"/> Transportation 运输                    |
| <input type="checkbox"/> Communications 通讯   | <input type="checkbox"/> Gems/Precious Metals/ Jewellery Trading 宝石/贵金属/珠宝买卖 | <input type="checkbox"/> Medical 医疗                              | <input type="checkbox"/> Utilities 公共事业                       |
| <input type="checkbox"/> Construction 建造   | <input type="checkbox"/> Hotels/Travel 酒店/旅游业                                | <input type="checkbox"/> Money Exchange/Remittance 货币兑换/汇款       | <input type="checkbox"/> Virtual Currencies 虚拟货币              |
| <input type="checkbox"/> Education 教育  | <input type="checkbox"/> Information Technology 资讯科技                         | <input type="checkbox"/> Non-profit organization 非牟利机构           | <input type="checkbox"/> Weapon/Military Industry 军火/军工       |
| <input type="checkbox"/> Engineering 工程  | <input type="checkbox"/> Insurance 保险  | <input type="checkbox"/> Pawnshop 典当业                            | <input type="checkbox"/> Others (please state) 其他(请注明): _____ |
| <input type="checkbox"/> Financial Regulators/ ICAC/similar authority 金融监管机构/廉署/同类机构 | <input type="checkbox"/> Legal 法律  | <input type="checkbox"/> Real Estate Agent 房地产经纪                 |   |

Source of Income (you can choose more than one) 收入来源 (可多选)	<input type="checkbox"/> Salary 薪金/工资	<input type="checkbox"/> Savings 储蓄	<input type="checkbox"/> Business Profit 业务溢利
	<input type="checkbox"/> Pension 退休金	<input type="checkbox"/> Return on investment 投资回报	<input type="checkbox"/> Rent 租金
	<input type="checkbox"/> Commission 佣金	<input type="checkbox"/> Inheritance 继承 / Gift 馈赠	<input type="checkbox"/> Household Income 家用
	<input type="checkbox"/> Others 其他 _____		

Annual Income (HK\$) 每年收入(港元)	<input type="checkbox"/> Below 低于 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 高于 5,000,000
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Total Net Worth (Approx. HK\$) 总资产净值 (约港元)	<input type="checkbox"/> Below 低于 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 高于 30,000,000 Approx. 约 HK\$ _____
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Liquid Net Worth - excluded property, automobile and insurance (Approx. HK\$) 流动资产净值- 不包括物业, 汽车及保险 (约港元)	<input type="checkbox"/> Below 低于 500,001	<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 高于 10,000,000 Approx. 约 HK\$ _____
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## Particulars of Individual Substantial Shareholder (2) 个人大股东的资料(二)

Name in English (Surname First) as per your ID Card/Passport 英文姓名 (先写姓氏), 姓名必须与阁下的身份证/护照的纪录相符:		Name in Chinese 中文姓名:			
ID Card /Passport No. 身份证/护照号码: (Please enclose copy 请附副本)		Issuing Country 签发国家:		Nationality 国籍:	
Date of Birth 出生日期: (yyyy 年) (mm 月) (dd 日)		Gender 性别: <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女		Tel. No 电话号码:	Shareholding Percentage 股权百分比:
Control percentage 控制权:					
Identity of U.S. Person 美国人身份 (i.e. U.S. Citizen, U.S. Resident, U.S. Passport or Green Card Holder 如: 美国公民, 美国居民, 美国护照或绿卡持有人): <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 : Tax Identification Number 税务身份号码 (TIN): _____					
Permanent / Residential Address 永久/居住地址 (No P.O. Box Please 请勿填上邮政信箱):				Country of Residence 居住国家:	
<b>Employment Details 就业情况:</b>					
<input type="checkbox"/> Self-employed/owner 自雇/雇主 <input type="checkbox"/> Employee 雇员 <input type="checkbox"/> Housewife 家庭主妇 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Unemployed 无业 <input type="checkbox"/> Student 学生 <input type="checkbox"/> Others 其他 _____					
Name of Employer 受雇/自雇公司名称		Position 职位		Year of Service 服务年期	
Employer/Occupation Industry (please select one) 雇主/职业行业(只选一项):					
<input type="checkbox"/> Agriculture 农业		<input type="checkbox"/> Finance 金融		<input type="checkbox"/> Leisure/Entertainment/Culture 康乐/娱乐业/文化	
<input type="checkbox"/> Art Piecework Trading 艺术品/古董买卖		<input type="checkbox"/> Food and Beverage 饮食业		<input type="checkbox"/> Logistics 物流业	
<input type="checkbox"/> Beauty/Healthcare Service 美容/保健服务		<input type="checkbox"/> Foreign Consulate Embassy 外国领事馆		<input type="checkbox"/> Manufacturing 制造业	
<input type="checkbox"/> Business Services 商业服务		<input type="checkbox"/> Gambling 博彩业		<input type="checkbox"/> Media/Marketing 媒体/市场营销	
<input type="checkbox"/> Communications 通讯		<input type="checkbox"/> Gems/Precious Metals/ Jewellery Trading 宝石/贵金属/珠宝买卖		<input type="checkbox"/> Medical 医疗	
<input type="checkbox"/> Construction 建造		<input type="checkbox"/> Hotels/Travel 酒店/旅游业		<input type="checkbox"/> Money Exchange/Remittance 货币兑换/汇款	
<input type="checkbox"/> Education 教育		<input type="checkbox"/> Information Technology 资讯科技		<input type="checkbox"/> Non-profit organization 非牟利机构	
<input type="checkbox"/> Engineering 工程		<input type="checkbox"/> Insurance 保险		<input type="checkbox"/> Pawnshop 典当业	
<input type="checkbox"/> Financial Regulators/ ICAC/similar authority 金融监管机构/廉署/同类机构		<input type="checkbox"/> Legal 法律		<input type="checkbox"/> Real Estate Agent 房地产经纪	
Source of Income (you can choose more than one) 收入来源 (可多选)		<input type="checkbox"/> Salary 薪金/工资		<input type="checkbox"/> Savings 储蓄	
		<input type="checkbox"/> Pension 退休金		<input type="checkbox"/> Return on investment 投资回报	
		<input type="checkbox"/> Commission 佣金		<input type="checkbox"/> Inheritance 继承 / Gift 馈赠	
		<input type="checkbox"/> Others 其他 _____			
Annual Income (HK\$) 每年收入(港元)		<input type="checkbox"/> Below 低于 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 高于 5,000,000
Total Net Worth (Approx. HK\$) 总资产净值 (约港元)		<input type="checkbox"/> Below 低于 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 高于 30,000,000 Approx. 约 HK\$ _____
Liquid Net Worth - excluded property, automobile and insurance (Approx. HK\$) 流动资产净值- 不包括物业, 汽车及保险 (约港元)		<input type="checkbox"/> Below 低于 500,001	<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 高于 10,000,000 Approx. 约 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) 公司董事或信托相关受托人/委托人/保护人/执行人的详情 (个人/公司)**

<p>1. Name/ Name of Corp. 姓名/公司名称:</p> <p>English(英文): _____</p> <p>Residential Address/ Address 住址/地址: _____</p> <p>_____</p> <p>Capacity 身份: _____</p>	<p>Chinese (中文): _____</p> <p>Identity Card No./ Passport No./ C.I. No. 身份证号码/护照号码/公司注册证书号码: _____</p> <p>Nationality / Place of Incorporation 国籍/成立地点: _____</p> <p>Telephone No 电话号码: _____</p>
<p>2. Name/ Name of Corp. 姓名/公司名称:</p> <p>English(英文): _____</p> <p>Residential Address/ Address 住址/地址: _____</p> <p>_____</p> <p>Capacity 身份: _____</p>	<p>Chinese (中文): _____</p> <p>Identity Card No./ Passport No./ C.I. No. 身份证号码/护照号码/公司注册证书号码: _____</p> <p>Nationality / Place of Incorporation 国籍/成立地点: _____</p> <p>Telephone No 电话号码: _____</p>
<p>3. Name/ Name of Corp. 姓名/公司名称:</p> <p>English(英文): _____</p> <p>Residential Address/ Address 住址/地址: _____</p> <p>_____</p> <p>Capacity 身份: _____</p>	<p>Chinese (中文): _____</p> <p>Identity Card No./ Passport No./ C.I. No. 身份证号码/护照号码/公司注册证书号码: _____</p> <p>Nationality / Place of Incorporation 国籍/成立地点: _____</p> <p>Telephone No 电话号码: _____</p>
<p>4. Name/ Name of Corp. 姓名/公司名称:</p> <p>English(英文): _____</p> <p>Residential Address/ Address 住址/地址: _____</p> <p>_____</p> <p>Capacity 身份: _____</p>	<p>Chinese (中文): _____</p> <p>Identity Card No./ Passport No./ C.I. No. 身份证号码/护照号码/公司注册证书号码: _____</p> <p>Nationality / Place of Incorporation 国籍/成立地点: _____</p> <p>Telephone No 电话号码: _____</p>
<p>5. Name/ Name of Corp. 姓名/公司名称:</p> <p>English(英文): _____</p> <p>Residential Address/ Address 住址/地址: _____</p> <p>_____</p> <p>Capacity 身份: _____</p>	<p>Chinese (中文): _____</p> <p>Identity Card No./ Passport No./ C.I. No. 身份证号码/护照号码/公司注册证书号码: _____</p> <p>Nationality / Place of Incorporation 国籍/成立地点: _____</p> <p>Telephone No 电话号码: _____</p>

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

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

**Part 2: Self Certification**  
(Applicable to Automatic Exchange of Financial Account Information (“AEOI”) and Foreign Account Tax Compliance Act (“FATCA”))

**第二部份：自我证明**  
(适用于自动交换财务帐户资料(AEOI)及美国外国帐户税务合规法案(FATCA))

**2.1 Entity 实体帐户**

**Part 1 Automatic Exchange of Financial Account Information**  
**第一部 自动交换财务帐户资料(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. 这是由帐户持有人及控权人向银河国际证券及/或银河国际期货提供的自我证明表格，以作自动交换财务帐户资料用途。银河国际证券及/或银河国际期货可把收集所得的资料交给税务局，税务局会将资料转交到另一税务管辖区的税务当局。
- 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. 如帐户持有人及控权人的税务居民身份或其他资料有所改变，应尽快将所有变更通知银河国际证券及/或银河国际期货。
- 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). 除不适用或特别注明外，必须填写这份表格所有部分。如这份表格上的空位不够应用，可另纸填写。

**I. Entity Type 实体类别**

Tick one of the appropriate boxes and provide the relevant information 在其中一个适当的方格内加上✓号，并提供有关资料。

Financial Institution 财务机构	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company 托管机构、存款机构或指明保险公司 <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 投资实体，但不包括由另一财务机构管理(例如：拥有酌情权管理投资实体的资产)并位于非参与税务管辖区的投资实体
Active NFE 主动非财务实体	<input type="checkbox"/> NFE the stock of which is regularly traded on _____ which is an established securities market 该非财务实体的股票经常在_____ (一个具规模证券市场)进行买卖 <input type="checkbox"/> Related entity of _____ the stock of which is regularly traded on _____, which is an established securities market _____ 的有关连实体，该有关连实体的股票经常在_____ (一个具规模证券市场)进行买卖 <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 政府实体、国际组织、中央银行或由前述的实体全权拥有的其他实体 <input type="checkbox"/> Active NFE other than the above (Please specify _____) 除上述以外的主动非财务实体(请说明_____ )
Passive NFE 被动非财务实体	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction. 位于非参与税务管辖区并由另一财务机构管理的投资实体 <input type="checkbox"/> NFE that is not an active NFE 不属主动非财务实体的非财务实体

**II. Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)**  
**居留司法管辖区及税务编号或具有等同功能的识辨编号 (以下简称「税务编号」)**

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. 提供以下资料，列明 (a) 帐户持有人的居留司法管辖区，亦即帐户持有人的税务管辖区(香港包括在内)及 (b) 该居留司法管辖区发给帐户持有人的税务编号。列出**所有**居留司法管辖区。

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. 如帐户持有人是香港税务居民，税务编号是其香港身份证号码。如没有提供税务编号，必须填写合适的理由：

**Reason A** - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.  
**理由 A** - 帐户持有人的居留司法税务管辖区并没有向其居民发出税务编号。

**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** - 帐户持有人不能取得税务编号。如选取这一理由，解释帐户持有人不能取得税务编号的原因。

**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** - 帐户持有人毋须提供税务编号。居留司法管辖区的主管机关不需要帐户持有人披露税务编号。

Jurisdiction of Residence 居留司法管辖区	TIN 税务编号	Enter Reason A, B or C if no TIN is available 如没有提供税务编号，填写理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如选取理由 B，解释帐户持有人不能取得税务编号的原因
1.			
2.			
3.			

**Part 2 Foreign Account Tax Compliance Act**  
**第二部 美国外国帐户税务合规法案(FATCA)**

Disclaimer: 免责声明:

- The account holder is advised to refer to the US IRS website (<http://www.irs.gov/>) for details in respect of FATCA.  
 帐户持有人如要了解 FATCA 法案详情, 阁下可参阅美国国家税务局网站 (<http://www.irs.gov/>) 资讯。
- The account holder shall be fully responsible for the confirmation of his/her/its FATCA status and other information submitted hereunder.  
 帐户持有人应对其确认的 FATCA 身份及在本文件内提供的其他信息承担全部责任。
- 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.  
 帐户持有人应确保于本表格内所填报的所有资料和声明真实、正确和完备。银河国际证券及/或银河国际期货不对该等资料和声明的任何错误或导致的任何损失承担任何责任。
- 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.  
 银河国际证券及/或银河国际期货不能向帐户持有人提供任何税务及法律意见。如有相关疑问, 请帐户持有人联络其税务及法律顾问。

Which of the following statements best describes you? Please select only 1 of the followings from category A or B.  
 以下哪一项陈述最切合 贵公司的情况? 请选择以下 A 组或 B 组的其中一个选项。

<b>U.S. Entities 美国实体</b>	
If you are incorporated, established, constituted or organized in the U.S., please complete and submit U.S. IRS Form W9. 如贵公司于美国注册成立、设立、构成或组成, 请填写并递交美国国税局表格 W9。	<b>U.S. Entities</b> 美国实体

<b>A. Financial Institution 金融机构</b>	
<b>You are financial institution, and 贵公司属金融机构, 及</b>	
<input type="checkbox"/>	You are 贵公司属 <input type="checkbox"/> Participating FFI 参与的外国金融机构 <input type="checkbox"/> Registered deemed-compliant FFI 已注册的视作合规外国金融机构 <input type="checkbox"/> Reporting Model 1 FFI 跨政府协议版本一之须申报外国金融机构 <input type="checkbox"/> Reporting Model 2 FFI 跨政府协议版本二之须申报外国金融机构 Global Intermediary Identification Number(GIIN) _____ 全球中介人识别号码为: _____
<input type="checkbox"/>	You are a Non-Participating FFI 贵公司属非参与的外国金融机构。
<input type="checkbox"/>	You are none of the above and please complete and submit the appropriate U.S. IRS Form W-8. 贵公司不符合上述任何一项, 在此情况下请填写及递交适当的美国国税局表格 W-8。

<b>B. Non-Financial Institution 非金融机构</b>										
<b>You are NOT a financial institution and 贵公司属非金融机构, 及</b>										
<input type="checkbox"/>	<b>Active Business 有实质业务活动的机构</b> <ul style="list-style-type: none"> <li>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 贵公司至少 50% 总收入(以上一个历年计)来自营业活动而非被动收入, 例如: 投资、股息、利息、租金或权利金, 及</li> <li>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 贵公司所持有之加权平均资产(每个季度于资产负债表依照资产的公允价值或账面价值计算)至少有 50% 会产生出或用以产出这些营业活动的收入</li> </ul>									
<input type="checkbox"/>	<b>Passive Investment 主要为被动投资收入的机构</b> <ul style="list-style-type: none"> <li>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 贵公司超过 50% 总收入(以上一个历年计)来自被动收入, 例如: 投资、股息、利息、租金或权利金, 及</li> <li><input type="checkbox"/> You do not have substantial U.S. Owners who own at least 25% of your entity 贵公司并无属于美国的主要股东(拥有贵公司最少 25% 股权)</li> <li><input type="checkbox"/> You have substantial U.S. Owners who own at least 25% of your entity, please fill up the following table 贵公司有属于美国的主要股东(拥有贵公司最少 25% 股权), 如此项适用请填写以下表格</li> </ul> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;">Name of substantial U.S. Owner 主要美国股东姓名</th> <th style="width: 30%;">Address 地址</th> <th style="width: 40%;">TIN 纳税人识别号</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 主要美国股东姓名	Address 地址	TIN 纳税人识别号						
Name of substantial U.S. Owner 主要美国股东姓名	Address 地址	TIN 纳税人识别号								
<input type="checkbox"/>	You are none of the above and please complete and submit the appropriate U.S. IRS Form W-8. 贵公司不符合上述任何一项, 在此情况下请填写及递交适当的美国国税局表格 W-8。									

**2.2 Controlling Person 控权人**

**Part 1 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)**  
**第一部 居留司法管辖区及税务编号或具有同等功能的识别编号（以下简称「税务编号」）**

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).  
 此部分只供被分类为被动非财务(海外)实体填写(包括被重新分类为被动非财务实体之位于非参与税务管辖区并由另一财务机构管理的投资实体)。

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.  
 提供以下资料，列明 (a) 帐户持有人的居留司法管辖区，亦即帐户持有人的税务管辖区(香港包括在内)及 (b) 该居留司法管辖区发给帐户持有人的税务编号。列出**所有**(不限于 5 个) 居留司法管辖区。

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.  
 如帐户持有人是香港税务居民，税务编号是其香港身份证号码。如没有提供税务编号，必须填写合适的理由：

**Reason A** - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.  
**理由 A** - 帐户持有人的居留司法税务管辖区并没有向其居民发出税务编号。

**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** - 帐户持有人不能取得税务编号。如选取这一理由，解释帐户持有人不能取得税务编号的原因。

**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** - 帐户持有人毋须提供税务编号。居留司法管辖区的主管机关不需要帐户持有人披露税务编号。

Name of Controlling person(“CP”) 控权人之姓名	All Jurisdiction of Residence of CP 控权人居留司法管辖区	TIN for all Jurisdiction of Residence of CP 控权人税务编号	Enter Reason A, B or C if no TIN is available 如没有提供税务编号，填写理由 A、B 或 C (Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如选取理由 B，解释帐户持有人不能取得税务编号的原因)
1.			
2.			
3.			

**Part 2 Type of Controlling Person**  
**第二部 控权人类别**

Tick the appropriate box(es) to indicate the type of controlling person stated in Part 1.  
 就第一部所载的每个控权人，在适当方格内加上✓号，指出所有控权人类别。

Type of Entity 实体类别	Type of Controlling Person 控权人类别	CP 控权人 (1)	CP 控权人 (2)	CP 控权人 (3)
Legal Person 法人	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 拥有控制股权的个人(即拥有不少于百分之二十五的已发行股本)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途径行使控制权或有权行使控制权的个人(即拥有不少于百分之二十五的表决权)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity 担任该实体的高级管理人员/对该实体的管理行使最终控制权的个人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust 信托	Settlor 财产授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee 受托人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector 保护人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary or member of the class of beneficiaries 受益人或某类别受益人的成员	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他(例如：如财产授予人/受托人/保护人/受益人为另一实体，对该实体行使控制权的个人)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Arrangement other than Trust 除信托以外的法律安排	Individual in a position equivalent/similar to settlor 处于相等/相类于财产授予人位置的个体	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to trustee 处于相等/相类于受托人位置的个体	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to protector 处于相等/相类于保护人位置的个体	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 处于相等/相类于受益人或某类别受益人的成员位置的个体	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary) 其他(例如：如处于相等/相类于财产授予人/受托人/保护人/受益人位置的人为另一实体，对该实体行使控制权的个体)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**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).

为实现和遵守自动交换财务帐户资料(AEOL)的原则,根据《税务条例》第 80(2E)条,如任何人在作出自我证明时,在明知一项陈述在要项上属具误导性、虚假或不正确,或罔顾一项陈述是否在要项上属具误导性、虚假或不正确下,作出该项陈述,即属犯罪。一经定罪,可处第 3 级(即港元 10,000)罚款。

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\\_aeoi.htm](http://www.ird.gov.hk/eng/tax/dta_aeoi.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.

请小心填写本自我证明表格。如阁下对于自动交换财务帐户资料(AEOL)或 FATCA、任何美国国税局表格(包括需填写及递交哪一份美国国税局表格)或本自我证明表格有任何疑问,请查询香港税务局网站 [http://www.ird.gov.hk/chi/tax/dta\\_aeoi.htm](http://www.ird.gov.hk/chi/tax/dta_aeoi.htm) 或 OECD 网站 <http://www.oecd.org/tax/automatic-exchange/> 或 美国国家税务局网站 (<http://www.irs.gov/>) 及咨询阁下之税务、法律及/或其他专业顾问。

**Part 3: Personal Information Collection Statement**

**第三部份:个人资料收集声明**

- 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)明白及同意为了向本人/吾等提供与在联交所上市或买卖的证券相关的服务,以及为了遵守不时生效的联交所与证监会的规则和规定,银河国际证券可收集、储存、处理、使用、披露及转移与本人/吾等有关的个人资料(包括本人/吾等的客户识别信息及券商客户编码)给证监会、联交所及或结算所。本人(等)已阅读及明白给予客户载于账户协议书内子部有关个人资料隐私政策之附注及附录及其所述的目的使用本人(等)的个人资料。

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

客户是否参与中华通北向交易?(不适用于内地投资者)

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

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

I/We AGREE that Galaxy International Securities and/or Galaxy International Futures and/or any member of Galaxy International Group to use my/our personal data in direct marketing via \*mail, E-mail, SMS, fax or personal call.

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

I/We DISAGREE that Galaxy International Securities and/or Galaxy International Futures and/or any member of Galaxy International Group to use my/our personal data in direct marketing via \*mail, E-mail, SMS, fax or personal call.

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

## Part 4: Related Account(s)

### 第四部份：关连账户

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

客户之集团公司是否银河国际集团客户?

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

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

4.2 Is any shareholder(s) of the client controlled 35% or above of the voting right of the client who maintain(s) account with Galaxy International Group?

控制客户 35%或以上之投票权的股东在银河国际集团成员是否持有户口?

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

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

4.3 Does the client and/ or the ultimate beneficial owner and/or its directors controlled 35% or above of the voting rights of any corporate client of Galaxy International Group?

客户及/或其最终权益受益人及/或其董事是否控制银河国际集团任何公司客户的 35%或以上之投票权。

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

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

## Part 5: Other Disclosure

### 第五部份：其他披露

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

客户本身或客户之董事、股东、或授权人是否任何上市公司的董事/大股东?

No 否  Yes, please provide the name of the listed company and the place of listing 是, 请提供上市公司的名称和上市地点:

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

客户本身或客户之董事、股东、或授权人是否证监会之持牌或注册人士?

No 否  Yes, please provide name of Licensed Corporation/ Registered Institution 是, 请提供持牌法团或注册机构名称:

\*Please attach a consent letter of account opening from your employer 请附上阁下雇主之开户同意书

5.3 Politically Exposed Person 政治人物

Is the client's directors, shareholders and/or 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)?

客户之董事、股东及/或看似代表该名客户行事的人士、其各自的配偶、伴侣、子女或父母、或该名个人的子女的配偶或伴侣、或与该名个人有关系密切的人是否或曾在任何地方担任或曾担任重要的公职 (包括国家元首、政府首长、资深从政者、高级政府、司法或军事官员、国有企业高级行政人员及重要政党干事)?

No 否  Yes 是 If Yes, please provide 如是, 请提供资料如下

Name of the politically exposed person 政治人物的名称: \_\_\_\_\_

Place and public function entrusted with 地方及所担任的公职: \_\_\_\_\_

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

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

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

### 第六部份：账户操作及最终实益拥有人

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

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

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

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

Name/Company Name 姓名/公司名称：

Occupation/Business Nature 职位/业务性质：

Phone No. and Address 电话及地址：

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

OR 或

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

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

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

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

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

Name/Company Name 姓名/公司名称：

Occupation/Business Nature 职位/业务性质：

Phone No. and Address 电话及地址：

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

OR 或

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

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

### CLIENT DECLARATION 客户声明：

- I/We confirm that I/we have received, read and understood the terms and conditions for securities cash trading account and/or securities margin trading account and/or futures trading account and/or stock options trading account and the appendices applicable to me/us ("Agreement"), and I/we hereby accept and agree to be bound by them.  
本人(等) 确认已阅读及明白有关之证券现金交易账户及/或证券孖展交易账户及/或期货交易账户及/或股票期权交易账户协议书及其附录(“协议书”)，而本人(等)接纳并同意受该等条款约束。
- Galaxy International Securities and/or Galaxy International Futures may amend the terms and conditions of the Agreement(s) from time to time by giving me/us notice of such amendment. Unless Galaxy International Securities and/or Galaxy International Futures has received my/our request to close the account, if I/we continue to use the account I/we shall be deemed to have accepted such changes.  
银河国际证券及/或银河国际期货有权不时更改协议书之条款，并向本人(等)发出通知，除非银河国际证券及/或银河国际期货收到本人取消户口通知，否则表示本人(等)接纳该更改条款。
- I/We hereby authorize Galaxy International Securities and/or Galaxy International Futures and the bank(s) mentioned in this document to verify and exchange the information contained in this document and such other information relating to my/our personal particulars, my/our bank account(s) in the bank(s) mentioned in this form between Galaxy International Securities and/or Galaxy International Futures and such other third parties as Galaxy International Securities and/or Galaxy International Futures may deem appropriate for the purpose of approving my/our application and for such other purposes as long as I/we shall remain an accounts with Galaxy International Securities and/or Galaxy International Futures.  
本人(等)谨此授权银河国际证券及/或银河国际期货及此开户文件提及之银行相互及向合适第三者查证及交换此开户文件上之资料和其他关于本人/吾等之个人资料、本人(等)之银行账户，以作核实开户申请及其他目的如本人(等)仍为阁下的客户。
- I/We 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)声明：(a)本身之账户及以当事人身份与银河国际证券及/或银河国际期货订立每一项交易，本人(等)亦为所有本人(等)与银河国际证券及/或银河国际期货(视情况而定)订立有关交易之受益人。(b)本人(等)是将会从交易取得经济利益及承担其经济风险的本账户最终受益人。
- I/We confirm that the information given in the Account Application Form is true, correct and complete, and authorize Galaxy International Securities and/or Galaxy International Futures as the case may be to confirm and verify this from any source Galaxy International Securities and/or Galaxy International Futures consider appropriate, including the conduct of any credit checks on me/us. Galaxy International Securities and/or Galaxy International Futures is entitled to rely fully on such information and representations for all purposes, unless Galaxy International Securities and/or Galaxy International Futures receive notice in writing of any change. I/We confirm and undertake that I/we will update Galaxy International Securities and/or Galaxy International Futures immediately on any changes.  
本人(等)确认在账户申请表中所提供的资料乃属真实，正确及完整，并授权银河国际证券及/或银河国际期货可向任何方面确定和查证。除非银河国

际证券及/或银河国际期货(视情况而定)收到任何客户资料改变的书面通知, 银河国际证券及/或银河国际期货将有权依据这些资料, 作任何用途或目的。本人(等)确认及承诺如所提供之资料有任何更改, 均会立刻通知银河国际证券及/或银河国际期货。

6. I/We hereby certify, declare and acknowledge that I/we have fully understood the risk disclosure statements in the language of my/our choice (English or Chinese). I/We was/ were invited to read the risk disclosure statements, and to ask questions and take independent advice if I/We so wished.  
本人(等)现声明及确认已获得提供按照本人(等)选择的语言(英文或中文)之风险披露声明书, 本人(等)已获邀阅读此风险披露声明, 并按照本人(等)意愿提出问题及征求独立意见。
7. I/We have read the 《Notes Relating to the Personal Data (Privacy) Ordinance of Hong Kong》(as contained in the agreement), understood and agree to them.  
本人(等)已阅读及同意给予客户载于协议书内有关香港个人资料(私隐) 条例之附注。
8. I/We understand that the account is subject to final acceptance of Galaxy International Securities and/or Galaxy International Futures as the case may be.  
本人(等)明白银河国际证券及/或银河国际期货(视情况而定)有最终接纳开户与否之权利。
9. I/We certify that the information provided in the Self-Certification above form regarding my/our FATCA and CRS status are true, accurate and complete.  
本人(等)声明以上有关于本人(等)的 FATCA 及 CRS 状况自我证明的资料均属真实、准确及完整。
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, 银河国际证券及/或银河国际期货可根据《税务条例》(第 112 章) 有关交换财务帐户资料的法律条文, (a)收集本表格所载资料并可备存作自动交换财务帐户资料用途; 及(b)把该等资料和关于帐户持有人及任何须申报帐户的资料向香港特别行政区政府税务局申报, 从而把资料转到帐户持有人的居留司法管辖区的税务当局。
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.  
本人承诺, 如任何资料有任何变更, 或如情况有所改变, 以致影响本表格所述的实体及/或个人的税务居民身分, 或引致本表格所载的资料不正确, 本人会通知银河国际证券及/或银河国际期货, 并会在情况发生改变后或资料变更后之 30 日内向银河国际证券及/或银河国际期货提交一份已适当更新的自我证明表格。
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)确认本人(等)同意授权银河国际证券及/或银河国际期货根据以下客户款项常设授权处置本人(等)的金钱

根据《证券及期货(客户款项)规则》关于客户款项所设立之常设授权

本授权书涵盖尔等为本人/吾等在香港收取或持有并存放于一个或多个独立帐户内的款项(包括因持有并非属于尔等的款项而产生之任何利息)(下称「款项」)。

除非另有说明, 本授权书之名词与证券及期货条例及证券及期货(客户款项)规则不时修订之定义具有相同意思。

本授权书授权尔等:

1. 组合或合并尔等, 即银河国际证券及/或银河国际期货及/或中国银河国际金融控股有限公司及/或其任何附属公司(下称「银河国际集团」)所维持的任何或全部独立帐户, 此等组合或合并活动可以个别地或与其他帐户联合进行, 尔等可将该等独立帐户内任何数额之款项作出转移, 以解除本人/吾等对银河国际集团内任何成员的义务或法律责任, 不论此等义务和法律责任是确实或或然的、原有或附带的、有抵押或无抵押的、共同或分别的; 及
2. 从银河国际集团任何成员于任何时候维持的任何独立帐户之间来回调动任何数额之款项; 及
3. 转帐任何数额之款项至任何香港或海外清算行或金融机构的客户帐户, 以应付交易用途、交收或本人/吾等经该清算行或金融机构所要履行的财

务责任；

4. 将本人/吾等的款项兑换至任何货币。

尔等可不向本人/吾等预先发出通知而采取上述行动。

此赋予中国银河国际证券(香港)有限公司及/或中国银河国际期货(香港)有限公司之授权乃鉴于上述两间公司同意继续维持本人/吾等之证券现金及/或保证金账户及/或股票期权账户及/或期货账户。此赋予尔等之授权并不损害银河国际集团可享有有关处理该等独立账户内款项的其他授权或权利。本授权书的有效期为 12 个月，自本授权书之日起计生效。

本人/吾等可以向尔等客户服务部位于上述所列明之地址发出书面通知，撤回本授权书。该等通知之生效日期为尔等真正收到该等通知后之 14 日起计。

本人/吾等明白尔等若在本授权书的有效期限届满前 14 日之前，向本人/吾等发出书面通知，提醒本人/吾等本授权书即将届满，而本人/吾等没有在此授权届满前反对此授权续期，本授权书应当作为在不需本人/吾等的书面同意下按持续的基准已被续期。

本人/吾等谨此同意赔偿贵公司及使贵公司因根据本常设授权进行任何交易而可能蒙受及/或招致的一切损失、赔偿、利息、费用、开支、法律行动、付款要求、申索或诉讼获得赔偿。

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.

(只适用于保证金户口客户)

本人(等)确认本人(等)同意授权银河国际证券根据以下客户证券常设授权处置本人(等)的证券

根据《证券及期货(客户证券)规则》所设立的常设授权

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

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

本常设授权构成根据证券及期货(客户证券)规则所指的常设授权,并授权贵公司:

1. 根据开户合同书账户条款及条件所载的条款,依据证券借贷协议运用任何本人/吾等的证券式证券抵押品;
2. 将任何本人/吾等的证券抵押品存放于认可财务机构,作为该机构向贵公司提供财务通融之抵押品;
3. 将任何本人/吾等的证券抵押品存放于香港中央结算有限公司(「香港结算」),作为解除贵公司在交收上的义务和清偿贵公司在交收上的法律责任的抵押品。本人/吾等明白香港结算因应贵公司的责任和义务而对本人/吾等的证券设定第一固定押记;
4. 将任何本人/吾等的证券抵押品存放于任何其他认可结算所或任何其他获发牌或获注册进行证券交易的仲介人,作为解除贵公司在交收上的义务和清偿贵公司在交收上的法律责任的抵押品;及
5. 如贵公司在进行证券交易及贵公司获发牌或获注册进行任何其他受规管活动的过程中向本人/吾等提供财务通融,即可按照上述第一、第二、第三及/或第四段所述运用或存放任何本人/吾等的证券抵押品。

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

本人/吾等确认并同意:

- 当贵公司根据上文 1. 项运用任何本人/吾等的证券或证券抵押品后,该等证券或证券抵押品将不再由客户账户持有,惟该等证券或证券抵押品的借入人将承诺返还名称相同的同等证券;
- 本人/吾等能够评估证券借贷安排的好处,并明白并接纳当中有关的风险;及
- 本人/吾等于签署本常设授权时,并无被施加不当的影响或压力,或被运用任何不公平的手法。

此赋予贵公司之授权乃鉴于贵公司同意继续维持本人/吾等之证券保证金户口。

本人/吾等明白本人/吾等的证券可能受制于第三者之权利，贵公司须全数抵偿该等权利后，方可将本人/吾等的证券退回给本人/吾等。

本常设授权的有效期为 12 个月<sup>1</sup>。本人/吾等明白本人/吾等可以向贵公司发出书面通知，撤回本常设授权。该等通知之生效日期为贵公司真正收到该等通知后之 14 日起计。本常设授权亦可由贵公司随时撤回，惟须给予本人/吾等不少于 14 日的事先书面通知。

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

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

本人/吾等已获解释清楚本函件的全部内容，本人/吾等明白及同意本函件的内容。

14. (For US Stock Options Account Client Only) I/We hereby certify, declare and acknowledge that I/we have carefully read and fully understood each section of, and the supplements to, Galaxy International Securities' document "US Stock Options Risk Disclosures".

(只适用于美国股票期权户口客户) 本人(等) 现声明及确认已仔细阅读并完全理解银河国际证券之文件《美国股票期权风险披露》的各部分及其补充内容。

**Signature 签署**

Blank area for signature with a red hand icon pointing to the right.

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

Name 姓名:

Date 日期:

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

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).

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

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

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

**核证人签字**

Name 姓名:

Contact Tel. 联络电话:

Date 日期:

Contact Address 联络地址:

Profession 职业 :  CGI 持牌人  Certified Public Accountant 专业会计师  Lawyer 律师  Notary Public 公证人  Others 其他 \_\_\_\_\_

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

**Declaration by Licensed Representative 持牌代表声明**

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(姓名见下)，为银河国际集团的注册人，谨此声明上述之风险披露声明及有矣\*\*证券现金账户/证券孖展账户/期货账户/股票期权账户\*\* (删去不适用者) 之协议书，已按照客户选择的语言(英文/中文)提供，本人并邀请客户阅读该等风险披露声明及按其意愿提出问题及征求独立意见。

Name of Licensed Representative 持牌代表名称		Signature of Licensed Representative 持牌代表签署
CE No. 中央编号	License Type 持有牌照 <input type="checkbox"/> 证券 Securities <input type="checkbox"/> 期货 Futures	

Risk Disclosed By 风险披露途径

Face-to-Face 面对面  Telephone 电话 (Recorded Line No. 电话录音号码: \_\_\_\_\_)

Date 日期: \_\_\_\_\_

Time 时间: \_\_\_\_\_

**For Official Use Only 供内部填写**

**Account Opening Approach 开立帐户方式：**

In-person 亲身  Certified by professional persons 专业人士见证

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

AE Name and AE code 客户主任姓名及编号 How long known to AE 与客户主任认识时间

Market 市场	Commission Rate 佣金率(%)	
	Internet 网上	Phone 电话
Hong Kong Stock 港股	% , Min	% , Min
US shares 美股	% , Min	% , Min
Northbound Trade 北向交易	% , Min	% , Min
Others 其他	% , Min	% , Min

Stock Options 股票期权	Commission Rate 佣金率(%)	
	<input type="checkbox"/> Hong Kong 香港 % , Min	<input type="checkbox"/> United State 美国 % , Min

**For Futures Transactions 如属期货买卖：**

AE Name and AE code 客户主任姓名及编号 How long known to AE 与客户主任认识时间

Futures / Options Contracts 期货/期权合约	Day Trade (each way) 即日买卖 (每边)	Overnight Trade (each way) 正常买卖 (每边)
Hong Kong Futures (per contract per side) 香港期货 (每合约每边)		
Hong Kong Options (per contract per side) 香港期权 (每合约每边)		
Global Futures/Options (per contract per side) 海外期货/期权 (每合约每边)		

VC  No  Yes  
Share Contact  No  Yes, A/C \_\_\_\_\_

<b>Special Considerations &amp; Comments 特别考虑因素及意见：</b>	Signature of AE 客户主任签名	Approval:

<b>Remarks 备注：</b>			
Document check by:	Input by:	Check & system approved by	Scan by: