

现有客户开立 额外证券及/或期货及/或股票期权帐户申请表

Application Form for opening additional Securities and/ or Futures and/ or Stock Options Trading Account(s) for Existing Client

To: China Galaxy International Securities (Hong Kong) Co., Limited

("Galaxy International Securities")

致: 中国银河国际证券(香港)有限公司 (「银河国际证券」)

CE No. / 证监会中央编号: AXM 459

China Galaxy International Futures (Hong Kong) Co., Limited

("Galaxy International Futures")

中国银河国际期货(香港)有限公司 (「银河国际期货」)

CE No. / 证监会中央编号: AYH 772

Date 日期: _____

客户名称 Name of Client	现有帐户号码 Existing Account No.
	额外帐户号码 Additional Account No.

I/We _____ (ID No./ Passport No.: _____) hereby apply to open additional ****Securities**

Cash || #Securities Margin || Futures || ^HK Stock Options || ^"US Stock Options Trading Account(s) in the name of _____

with your company, while all personal information or corporate information and agreed terms and conditions would be the same as my/ our existing account stated above.

本人/吾等 _____ (身份证/ 护照号码: _____) 谨此向 贵公司申请开立 额外 ****证券现**

金 || #证券孖展 || 期货 || ^香港股票期权 || ^"美国股票期权 交易帐户, 帐户名称为 _____, 所有个人或公司资料、已同意

的条款及条件均与本人/吾等上述现有帐户相同。

Electronic Trading 电子交易:	
**Electronic Trading Service(s) for Securities Cash/ Securities Margin/ Futures/ Stock Options Account(s)? (Please delete as appropriate) **选用电子交易服务于证券现金/ 证券孖展/ 期货/ 股票期权 帐户? (请删去不适用者) <i>*Trading Password will be sent to the registered account correspondences email address</i> <i>*交易密码将发送到帐户通讯登记电邮地址</i>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Account Opening supplementary information 客户开户补充资料:	
Reason(s) for opening the additional account(s)? (Applicable to open same type of account only) 客户开立额外帐户的原因? (只适用于开立同类型帐户)	
Have the Client ever declared bankruptcy? 客户是否曾经宣布破产?	<input type="checkbox"/> Yes 是 (Please provide the date and details 请提供日期及详情: _____) <input type="checkbox"/> No 否
Is/Are the additional account(s) operated by the Client? 额外帐户是否由客户本人操作?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 (Please specify the name of the authorized person 请说明帐户操作人为: _____)
Have the Client change any personal information/corporate information? 客户是否曾经更改个人资料或公司资料?	<input type="checkbox"/> Yes 是 (Please provide the updated details 请提供更新资料: _____) <input type="checkbox"/> No 否

注意 Note :

1. ****Please delete whichever is not appropriate. **请删去不适用者。**
2. **^Client with Securities Cash Account cannot short call/ put options in the Stock Options Account. ^客户如持有证券现金户口将不能在其股票期权户口沽出认购或认沽期权。**
3. **#For opening an additional Securities Margin Account, Client must sign the "Authorization to dispose of, lend or deposit securities and/ or securities collateral under the Securities and Futures (Client Securities) Rules". #如欲开立额外证券保证金帐户, 客户需签署根据“证券及期货(客户证券)规则”有关出售, 借出或存放证券及/或证券抵押品的授权”。**
4. **"To open a US Stock Options Trading Account, clients must hold an active Securities Margin Account with our company. If you would like to change your account type, please submit the "Change of Account Type for Securities Account" form. "客户须于本公司持有有效的证券保证金户口, 方可开立美国股票期权交易户口。如欲更改户口类型, 请填写并提交「证券户口类型更改表格」。**
5. **None of the Third Party or Discretionary authorization of the existing account will be continued to effect for the additional account(s). If the additional account(s) is/are not operated by the Client, "Third Party Authorization Instruction" or "Authorization of Discretionary Account" has to be completed as well. 客户开立的额外帐户并不附带任何于现有帐户已生效的第三者 / 委托授权。若额外帐户非由客户本人操作, 客户需同时填妥“第三者授权书”或“委托帐户授权书”。**
6. **For opening an additional account(s), Corporate Client must provide Board Resolution for authorizing account(s) to be opened and maintained in the name of the Client or a person to operate the account on behalf of the Client. 如欲开立额外帐户, 公司客户需提供董事局决议案证明批准开立额外帐户及授权有关人士运作该帐户。**

Declaration by Licensed Representative 持牌代表声明	
The above mentioned Risk Disclosure Statement(s) has/ have been provided to the Client in a language of the Client's choice and the undersigned registered person of the Company has invited the Client to read the same, ask questions and take independent advice. 上述之风险披露声明已由本公司下列签署之注册人员按照客户选择的语言提供, 并邀请客户阅读该/ 该等风险披露声明、提出问题及征求独立意见。	
注册人签署 Signature of Registered Person : _____	中央编号 CE No. : _____
注册人姓名 Name of Registered Person : _____	日期 Date : _____
持有牌照 License Type : <input type="checkbox"/> 证券 Securities <input type="checkbox"/> 期货 Futures	
<input type="checkbox"/> Face to Face 面对面 <input type="checkbox"/> Telephone 电话 _____ (Recorded Line No.录音电话号码) _____ (Time 时间)	

Declaration and Signature 声明及签署

1. I/We declare that my/ our current personal/corporate information, trading authorization and settlement authorization are the same as the latest record filed with **Galaxy International Securities and/or Galaxy International Futures**. I/We consent to the use of the personal/corporate information, trading authorization and settlement authorization are of my/our existing account in **Galaxy International Securities and/or Galaxy International Futures** for the purpose of opening the additional account(s). 本人/吾等声明本人/吾等现时之个人资料/公司资料, 交易授权及交收授权与最新留存于**银河国际证券及/或银河国际期货**之纪录一样, 并同意将本人/吾等于**银河国际证券及/或银河国际期货**之现有帐户之个人资料/公司资料用作开设额外帐户之用。
2. I/We confirm that I/We have received, read and understood the “Terms and Conditions – Account Opening Agreement” (“Terms and Conditions”) applicable to me/us including but not limited to the relevant Risk Disclosure Statements, General Terms and Disclaimers, Additional Terms for Securities Cash/Securities Margin/Futures/Stock Options Trading Account(s), which may be entered into in writing between **Galaxy International Securities and/or Galaxy International Futures** and me/us from time to time, including any letters of authorization relating to securities margin financing. 本人/吾等证实已收取、阅读及明白“帐户条款及条件 - 开户合同书”(“条款及条件”), 包括但不限于有关风险披露声明, 一般条款及免责声明, 证券现金或证券孖展及/或期货及/或股票期权交易帐户之附加条款及任何由本人/吾等与**银河国际证券及/或银河国际期货**不时订立之书面补充条款及条件, 包括任何有关证券保证金帐户之抵押品授权书。
3. I/We hereby accept and agree to be bound by the Terms and Conditions. **Galaxy International Securities and/or Galaxy International Futures** may amend the Terms and Conditions 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(s), if I/we continue to use the account(s) I/We shall be deemed to have accepted such changes. 本人/吾等特此接纳及同意受条款及条件约束。**银河国际证券及/或银河国际期货**有权不时更改条款及条件, 并向本人/吾等发出通知, 除非**银河国际证券及/或银河国际期货**收到本人/吾等取消帐户通知, 否则表示本人/吾等接受该更改条款及条件。
4. I/We hereby certify, declare and acknowledge that I/we have received and fully understood the risk disclosure statement in the language of my/our choice. I/We was/were invited to read the risk disclosure statement, and to ask questions and take independent advice if I/We so wish. 本人/吾等现声明及确认已获得并完全了解按照本人/吾等选择的语言之风险披露声明, 本人/吾等已获邀阅读此风险披露声明, 并按照本人/吾等意愿提出问题及征求独立意见。
5. I/We understand that the opening of additional account(s) is subject to final acceptance of **Galaxy International Securities and/or Galaxy International Futures**’ as the case may be. 本人/吾等明白**银河国际证券及/或银河国际期货**(视情况而定)有最终接纳开立额外帐户与否之权利。
6. I/We confirm that I am/ we are acting for my/ our own account and as principal in relation to each transaction entered into with **Galaxy International Securities and/or Galaxy International Futures** as the case may be. 本人/吾等确认本人/吾等本身之帐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/吾等亦为所有本人/吾等与**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。
7. (Applicable for opening an additional US Stock Options Trading Account only) I have received and carefully read each section of, and the supplements to, **Galaxy International Securities**’ document “US Stock Options Risk Disclosures” (只适用于开立额外美国股票期权交易帐户) 本人已接收并仔细阅读**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。

X

客户签署 Client's Signature(s)

请用留存于银河国际证券及/或银河国际期货纪录之签署式样 Please use signature(s) filed with **Galaxy International Securities** and/or **Galaxy International Futures** .

For Official Use Only 供内部填写

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	<input type="checkbox"/> United State 美国
	%, Min	%, 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)			
Market Data 市场行情	<input type="checkbox"/> RT CME <input type="checkbox"/> Delay CME <input type="checkbox"/> ICE <input type="checkbox"/> Other_____		
Special Considerations & Comments 特别考虑因素及意见:	Signature of AE 客户主任签名:	Document checked by: 文件核对经手人:	Account Opening Approved By: 开户批准人:

Share Contact	S.V.	Inputted by	Checked by	R.O. Galaxy International Securities	R.O. Galaxy International Futures
<input type="checkbox"/> No <input type="checkbox"/> Yes A/C					

To : China Galaxy International Securities (Hong Kong) Co., Limited
致 : 中国银河国际证券(香港)有限公司

Standing Authority under Securities & Futures (Client Securities) Rules 根据《证券及期货(客户证券)规则》所设立的常设授权

This standing authority is in respect of the treatment (as set out below) of my/our securities or securities collateral held by you in one or more accounts designated as client account(s) or trust account(s) on my /our behalf established and maintained in Hong Kong (the “Client Account(s)”):

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

Unless otherwise defined, the terms used in this standing authority shall have the same meanings as in the Securities & Futures Ordinance and Securities & Futures (Client Securities) Rules as amended from time to time.

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

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

本常设授权构成根据证券及期货(客户证券)规则所指的常设授权, 并授权贵公司:

1. apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement in accordance with the terms set out in the Terms and Conditions Account Opening Agreement;
根据开户合同书账户条款及条件所载的条款, 依据证券借贷协议运用任何本人/吾等的证券式证券抵押品;
2. deposit any of my/our securities collateral with an authorized financial institution as collateral accommodation provide to you;
将任何本人/吾等的证券抵押品存放于认可财务机构, 作为该机构向贵公司提供财务通融之抵押品;
3. deposit any of my/our securities collateral with Hong Kong Securities Clearing Company Limited (“HKSCC”) as collateral for the discharge and satisfaction of your settlement obligations and liabilities. I/We understand that HKSCC will have a first fixed charge over my/our securities to the extent of your obligations and liabilities;
将任何本人/吾等的证券抵押品存放于香港中央结算有限公司(「香港结算」), 作为解除贵公司在交收上的义务和清偿贵公司在交收上的法律责任的抵押品。本人/吾等明白香港结算因应贵公司的责任和义务而对本人/吾等的证券设定第一固定押记;
4. deposit any of my/our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of your settlement obligations and liabilities; and
将任何本人/吾等的证券抵押品存放于任何其他认可结算所或任何其他获发牌或获注册进行证券交易的中介人, 作为解除贵公司在交收上的义务和清偿贵公司在交收上的法律责任的抵押品; 及
5. apply or deposit any of my/our securities collateral in accordance with paragraphs 1, 2, 3 and/or 4 above if you provide financial accommodation to me/us in the course of dealing in securities and also provide financial accommodation to me/us in the course of any other regulated activity for which you are licensed or registered.
如贵公司在进行证券交易及贵公司获发牌或获注册进行任何其他受规管活动的过程中向本人/吾等提供财务通融, 即可按照上述第一、第二、第三及/或第四段所述运用或存放任何本人/吾等的证券抵押品。

You may do any of these things without giving me/us notice. I/We acknowledge and agree that this standing authority shall not affect your right to dispose or initiate a disposal by your affiliates of my/our securities or securities collateral in settlement of any liability owed by or on behalf of me/us to you, the affiliates or a third person.

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

I/We acknowledge and agree that:

- Upon you applying any of my/our security or securities collateral in accordance with 1. above, such security or securities collateral will cease to be held in the Client Accounts, but the borrower of such security or securities collateral will have undertaken to return equivalent securities of the same description;
- I am/We are capable of assessing the merits of, and understands and accepts the risks associated with the securities lending and borrowing arrangements; and
- No undue influence or pressure was exerted on, or any unfair tactics were used against me/us in signing this standing authority.

本人/吾等确认并同意:

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

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

此赋予贵公司之授权乃鉴于贵公司同意继续维持本人/吾等之证券保证金户口。

I/We understand that a third party may have rights to my /our securities, which you must satisfy before my/our securities can be returned to me/us.

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

This standing authority is valid for a period of 12 months¹. I/We understand that this standing authority may be revoked by giving you written notice. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice. This standing authority may also be revoked by you at any time by giving not less than 14 days prior written notice to me/us.

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

I/We understand that, this standing authority may be deemed to be renewed, on a continuing basis for a period of 12 months (or for another period not exceeding 12 months specified in the written reminder) without my/our written consent (i) if you issue me/us a written reminder at least 14 days prior to the expiry date of this standing authority, and (ii) I/We do not object to such deemed renewal before such expiry date.

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

In the event of any difference in interpretation or meaning between the Chinese version and English version of the standing authority, I/We agree that the English version shall prevail.

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

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

本人/吾等已获解释清楚本函件的全部内容, 本人/吾等明白及同意本函件的内容。

X



Client Signature 客户签署

Date 日期

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

¹ 專業投資者採用不同的有效期限及續期安排, 惟吾等假設貴公司將於本常設授權中採納非專業投資者標準。