

CUSTOMER PROFILE CONFIRMATION FORM 客户资料确认表格

(For Individual & Joint Account 个人及联名账户适用)

Account Name 账户名称: _____
 Individual Account 个人户口
 Joint Account 联名户口 (Each joint account holder shall complete part 1 & 2 respectively 每名联名账户持有人须分别填写本表格第一及第二部份)

Account No. 账户号码: _____

Account Executive 客户经理: _____ (AE Code 客户经理编号: _____)

IMPORTANT NOTES 重要备注:	
1.	Please only answer those questions which you have not answered before OR if the relevant information which you previously provided to China Galaxy International Securities (Hong Kong) Co., Limited and/or China Galaxy International Futures (Hong Kong) Co., Limited (collectively known as "CGI" or "us") has changed but you have not yet informed CGI of the change(s). 若阁下从未向银河国际证券及/或银河国际期货(统称「银河国际」或「我们」)就有关问题提供资料, 或阁下的有关资料已更改而没有通知银河国际, 请回答有关问题。
2.	If you maintain more than one account with CGI and your answer(s) to the question(s) below is/are specific to a particular account, please indicate so beside the answer(s), or fill in a separate form for each account. 若阁下在银河国际开立多于一个账户, 而阁下就个别问题的回复乃针对阁下某账户的情况, 敬请在该回复旁边说明所指的账户, 或就阁下每一账户分别填报此表格。
3.	We will assume there is no change to your relevant information if a question is not answered. 如阁下就个别问题未有提供资料, 我们会视为阁下的有关资料并无更改。
4.	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。

Please answer the following questions and complete relevant part(s) of this form.

请阁下回答以下问题, 并根据指示填写此表格之相应部份:

1. **Has there been any change to your personal information 阁下之个人资料是否有改变?**
 Yes 是 → Please answer the relevant question(s) in **Part 1** 请回答**第一部份**之相关问题
 No 否
2. **Has there been any change to your employment, financial and investment risk profile 阁下之就业、财务及投资风险状况是否有改变?**
 Yes 是 → Please answer the relevant question(s) in **Part 2** 请回答**第二部份**之相关问题
 No 否
3. **Has there been any change to the ultimate beneficial owner of the account 阁下之账户最终实益拥有人是否有改变?**
 Yes 是 → Please answer the relevant question(s) in **Part 3** 请回答**第三部份**之相关问题
 No 否
4. **Has there been any change to other disclosures 阁下之其他披露是否有改变?**
 Yes 是 → Please answer the relevant question(s) in **Part 4** 请回答**第四部份**之相关问题
 No 否
5. **Has there been any changes to the self-certification (including CRS status/classification) 阁下之自我证明资料(包括共同汇报标准身份/类别)是否有任何变动?**
 Yes 是 → Please answer the relevant question(s) in **Self-Cert Form** 请回答**自我证明表格**之相关问题
 No 否

If all answers to the above questions are "No", please move to the last page of this form and signify your confirmation under "Customer Acknowledgement".
 如以上问题的答案均为「否」, 请跳过以下第一至四部份, 在此表格终部「客户确认」部份签署确认。

Part 1: Personal Information				
第一部份: 个人资料				
(1) 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:			(2) Name in Chinese 中文姓名:	
(3) ID Card /Passport No. 身份证/护照号码: (Please enclose copy 请附副本)		(4) Issuing Country 签发国家:	(5) Nationality 国籍:	
(6) Gender 性别: <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女	(7) Marital Status 婚姻状况: <input type="checkbox"/> Single 单身 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 离婚 <input type="checkbox"/> Widowed 丧偶		(8) Email 电邮:	
(9) Permanent Residence Address 永久居住地址 (No P.O. Box 不接受邮政信箱): (Postal Code 邮编: _____)			(10) Country of Residence 居住国家:	
(11) Correspondence Address 通讯地址:	<input type="checkbox"/> Permanent Residence Address 永久居住地址 <input type="checkbox"/> Office Address 办事处地址 <input type="checkbox"/> Others 其他 _____ (Postal Code 邮编: _____)			



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(12) (Country Code) Home Tel. No.: (国家区号) 住宅电话号码:	(13) (Country Code) Office Tel. No.: (国家区号) 办事处电话号码:
(14) (Country Code) Mobile Phone No.: (国家区号) 手提电话号码:	(15) (Country Code) Fax No.: (国家区号) 传真号码:

(16) Residential Information 住处资料:

With Family 与家人同住
 Owned 自置
 Rented-private 租用私人楼宇
 Rented-public 租用公共房屋
 Quarters 宿舍
 Mortgage 按揭贷款
 Others 其他(please indicate 请注明) _____

(17) Year(s) at Present Address 居住年期:
 1-5 years 年
 5-10 years 年
 over 10 years 超过 10 年

Part 2: Employment, Financial and Investment Risk Profile 第二部份: 就业、财务及投资风险状况

2.1 Employment Profile 就业状况

(1) Employment Status 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 _____

(2) Name of Employer of Primary Client 客户受雇/自雇机构名称	(3) Position 职位	(4) Year of Service 服务年期
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(5) Office Address 公司地址 _____ (Postal Code 邮编: _____)

(6) 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"/> Weapon/Military Industry 军火/军工
<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"/> Others (please state) 其他(请注明): _____
<input type="checkbox"/> Engineering 工程	<input type="checkbox"/> Insurance 保险	<input type="checkbox"/> Pawnshop 典当业	
<input type="checkbox"/> Employee of Financial Regulators/ ICAC/similar authority 金融监管机构/廉署/同类机构的雇员	<input type="checkbox"/> Legal 法律	<input type="checkbox"/> Real Estate Agent 房地产经纪	

2.2 Financial Profile 财务状况

(7) The items below represent the incomes and assets **solely owned** by the account holder:
以下资料代表账户持有人**独立拥有**之收入及资产:

(8) Source of Investment funds 投资资金来源
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"/> 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 _____		

(9) Annual Income (HK\$) 每年收入(港元)

<input type="checkbox"/> Below 低于 200,000	<input type="checkbox"/> 200,001 – 500,000	<input type="checkbox"/> 500,001 – 1,000,000	<input type="checkbox"/> 1,000,001 – 5,000,000	<input type="checkbox"/> Above 高于 5,000,000
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(10) Asset Type 资产类别

<input type="checkbox"/> Land and Property 房地产	<input type="checkbox"/> Vehicle(s) 车辆	<input type="checkbox"/> Cash 现金 / Deposit 存款
<input type="checkbox"/> Company Shares 公司股份	<input type="checkbox"/> Listed Stocks 上市股票	<input type="checkbox"/> Foreign Exchange 外汇
<input type="checkbox"/> Funds 基金	<input type="checkbox"/> Bonds / Debentures 债券	<input type="checkbox"/> Precious Metal 贵金属
<input type="checkbox"/> Inheritance 遗产	<input type="checkbox"/> Others 其他 _____	

(11) Total Net Assets (Approx. HK\$) 资产净值 (HK\$港元)

<input type="checkbox"/> Below 低于 1,000,000	<input type="checkbox"/> 1,000,001 – 5,000,000	<input type="checkbox"/> 5,000,001 – 10,000,000	<input type="checkbox"/> 10,000,001 – 30,000,000	<input type="checkbox"/> Above 高于 30,000,000
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(12) Liquid Net Assets Value - excluded property, automobile and insurance (HK\$) 流动资产净值- 不包括物业, 汽车及保险 (港元)

<input type="checkbox"/> Below 低于 500,000	<input type="checkbox"/> 500,001 – 1,000,000	<input type="checkbox"/> 1,000,001 – 5,000,000	<input type="checkbox"/> 5,000,001 – 10,000,000	<input type="checkbox"/> Above 高于 10,000,000 Approx.约 HK\$ _____
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(13) Estimated Investment Amount Per Year (HK\$) 估计每年投资金额 (HK\$港元)

<input type="checkbox"/> Below 低于 500,000	<input type="checkbox"/> 500,001 – 1,000,000	<input type="checkbox"/> 1,000,001 – 5,000,000	<input type="checkbox"/> 5,000,001 – 10,000,000	<input type="checkbox"/> Above 高于 10,000,000
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(14) Average Investment Amount Per Year (HK\$) 每年平均投资金额 (港元)	<input type="checkbox"/> Below 低于 500,000	<input type="checkbox"/> 500,001 – 1,000,000	<input type="checkbox"/> 1,000,001 – 5,000,000	<input type="checkbox"/> 5,000,001 – 10,000,000	<input type="checkbox"/> Above 高于 10,000,000
(15) Have the client ever been bankrupted, or served with a bankruptcy petition? 客户是否曾经破产或被送达要将客户破产的呈请?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是 If yes, please provide the date and details 如是, 请提供日期及详情:				
(16) Will the client invest in Over-The-Counter (“OTC”) products? 客户是否会投资场外交易产品?	<input type="checkbox"/> Yes 会 <input type="checkbox"/> No 不会				

2.3 Investment Risk Profile 投资风险状况

(16) Have you changed your investment objective, investment experience, investment horizon and/or risk tolerance level 阁下的投资目标、投资经验、投资期及/或可承受风程度是否有改变?

Yes 是 → Our Account Executive will contact you to complete our [Investment Risk Profiling Questionnaire](#)
我们的客户经理将会联络阁下完成我们的[投资风险评估问卷](#)

No 否

Part 3: Ultimate Beneficial Owner of the Account 第三部份：账户最终实益拥有人

(1) Is the client the person ultimately benefits from and/or bears the risks of any transactions under this account? 客户是否此账户所有交易的最终受益及/或承担风险人士?

Yes 是

No. Please provide below details with supporting documents:- 否。请提供相关资料及附上有关文件:-
Name 姓名:
Phone No. and Address 电话及地址:
Identity Card/ Passport number 身份证/ 护照号码:
Identity Card/ Passport Issuing Country 身份证 / 护照签发国家:
Relationship with the client and reasons (if any) 与客户的关系及原因 (如有):

Part 4: Other Disclosures 第四部份：其他披露

(1) Is the client an employee of or related to any employee or director of **Galaxy International Group**?
客户是否**银河国际集团**之雇员或与**银河国际集团**之任何雇员或董事有亲属关系?

No 否 Yes, whose name is 是, 其姓名为: _____ Relationship 关系: _____

(2) Is your spouse or other persons related with you a client of **Galaxy International Group**?
客户的配偶或其他与客户有关连的人士是否**银河国际集团**的客户?

No 否 Yes, whose name is 是, 其姓名为: _____ (A/C No 账户号码: _____) Relationship 关系: _____

(3) Are you operating another account in **Galaxy International Group**?
客户是否操控另一**银河国际集团**账户?

No 否 Yes, whose name is 是, 其姓名为: _____ (A/C No 账户号码: _____) Relationship 关系: _____

(4) Are you alone or with your spouse control 30% or more of the voting rights of any corporate clients of **Galaxy International Group**?
客户是否个人或与配偶共同控制任何**银河国际集团**的公司客户 30%或以上的投票权?

No 否 Yes, the account name is 是, 账户名称为: _____ (A/C No 账户号码: _____)

(5) Is the client or his authorized person a director, an employee or a representative of a Licensed Corporation or Registered Institution registered under the Securities and Futures Commission?
客户或其授权人是否证监会持牌法团或注册机构的董事、雇员或持牌代表?

No 否 Yes 是, please provide name of Licensed Corporation/ Registered Institution 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

(6) Is the client or his authorized person a director, employee or major shareholder of any listed company?
客户或其授权人是否任何上市公司的董事/雇员/大股东?

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

(7) **Politically Exposed Person 政治人物**
Is the (i) client; and/or (ii) his/her authorized persons; (iii) their respective spouses, partners, children or parents; or (iv) a spouse or a partner of a child of such individual; or (v) 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, permanent representative stationed in an international organization and etc.)?
(i)客户及/或(ii)其授权人、(iii)其各自的配偶、伴侣、子女或父母、或(iv)该名个人的子女的配偶或伴侣、或(v)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、派驻国际组织常任代表等)?

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: _____

* a person is a “close associate” of an individual of the person is 如某人符合以下说明, 该人即属与客户及/或其授权人关系密切的人:
(a) an individual who has close business relations with the client and/or the authorized persons, including an individual who is a beneficial owner of a legal person or trust of which the Client and/or the authorized persons is also a beneficial owner; or 该人是与客户及/或其授权人有密切业务关系的个人(在客户及/或其授权人属法人或信托的实益拥有人的情况下, 包括同样属让法人或信托的实益拥有人的个人); 或
(b) an individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the client and/or the authorized persons. 该人是属某法人或信托的实益拥有人的个人, 而该法人或信托是为客户及/或其授权人的利益而成立的。

Customer Acknowledgement 客户确认:

I/We, the undersigned, confirm that all the information provided in or otherwise in connection with this *Customer Profile Confirmation Form* is, and in respect of any information provided hereafter, shall be, at the time of provision, true, accurate, complete and up-to-date, and authorize CGI to confirm and verify this from any persons or entities CGI considers appropriate, including but not limited to the credit agencies. CGI is entitled to rely fully on such information and representations for all purposes, unless CGI receive notice in writing of any changes. I/We confirm and undertake to notify CGI immediately of any changes to any of the aforesaid information. I/We understand and agree that unless otherwise indicated CGI in writing, any such changes will not come into effect until 5 working days after the actual receipt of the relevant written notification by CGI.

本人(等), 即以下签署人, 确认本人(等)现时及其后于此「客户资料确认表格」或与其有关所提供的资料乃属真实、准确、完整及最新, 并授权银河国际可在其认为恰当的情况下向任何人士或实体确定和查证, 包括但不限于信贷机构。除非银河国际收到任何客户资料改变的书面通知, 银河国际将有权依据这些资料, 作任何用途或目的。如所提供之资料有任何更改, 本人(等)确认及承诺立刻以书面通知银河国际。本人(等)明白及同意除非由银河国际另作书面通知, 否则该资料更改只会于银河国际确实收到有关之书面通知当日起计五个工作天后才会生效。

Agreed by the undersigned 同意并签署如下:

Signature 客户签署

Date 日期

*Please use the signature(s) on file with us. 请用留存本行记录的签署式样

For Official Use Only 只供内部使用

Confirmed by Licensed Person		Acknowledge of above confirmation		
Signature:	Name:	Signature:	Name:	
Recording Date:		Recording Date:		
Recording Time :	Extension:	Recording Time :	Extension:	
		Remarks:		
Check-box				
<input type="checkbox"/> Document 100 (effective date)	<input type="checkbox"/> Document 101 (effective & expiry date)	<input type="checkbox"/> iPortal	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> No Futures <input type="checkbox"/> No Stock Options <input type="checkbox"/> No Sub-Account
S.V.	Inputted By	Checked and Approved By	Scanned By	