

CUSTOMER PROFILE CONFIRMATION FORM 客户资料确认表格 (For Corporate Account 公司账户适用)

Account Name 账户名称: _____

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). 若贵公司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,或贵公司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. 若贵公司在银河国际开立多于一个账户,而贵公司就个别问题的回复乃针对贵公司某账户的情况,敬请在该回复旁边说明所指的账户,或就贵公司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. 如贵公司就个别问题未有提供资料,我们会视为贵公司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,并在适当地方加上剔号。

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 changes to your particulars 贵公司之资料是否有改变?**
 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 changes to your business nature, financial and investment risk profile 贵公司之业务性质、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 changes to the related parties of the account and their particulars 贵公司之账户关联方及其资料是否有改变?**
 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 changes to other disclosures 贵公司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: Corporate Particulars 第一部份: 公司资料		
(1) Registered Office 公司名称: _____		
(2) Registered Office 注册地址: _____ (Postal Code 邮编: _____)		
(3) 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) (Postal Code 邮编: _____)		
(4) 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 _____ (Postal Code 邮编: _____)		
(5) Country of Business Address 营业地址国家: _____	(6) 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: _____	
(7) Telephone Number 电话号码 _____	(8) Fax No. 传真号码 _____	(9) Email Address 电邮地址: _____



CPCFE

Part 2: Business Nature, Financial and Investment Risk Profile

第二部份：公司业务性质、财务及投资风险状况

2.1 Business Nature 业务性质

(1) Nature of Business 业务性质: (Only choose ONE 请只选一项)	<input type="checkbox"/> Agriculture 农业	<input type="checkbox"/> Gambling 博彩业	<input type="checkbox"/> Money Exchange/Remittance 货币兑换/汇款
	<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"/> Non-profit organization 非牟利机构
	<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"/> Pawnshop 典当业
	<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"/> Real Estate Agent 房地产经纪
	<input type="checkbox"/> Construction 建造	<input type="checkbox"/> Legal 法律	<input type="checkbox"/> Retail 零售
	<input type="checkbox"/> Education 教育	<input type="checkbox"/> Leisure/Entertainment/Culture 康乐/娱乐业/文化	<input type="checkbox"/> Trading/Wholesales 贸易/批发
	<input type="checkbox"/> Engineering 工程	<input type="checkbox"/> Logistics 物流业	<input type="checkbox"/> Transportation 运输
	<input type="checkbox"/> Finance 金融	<input type="checkbox"/> Manufacturing 制造业	<input type="checkbox"/> Utilities 公共事业
	<input type="checkbox"/> Food and Beverage 饮食业	<input type="checkbox"/> Media/Marketing 媒体/市场营销	<input type="checkbox"/> Weapon/Military Industry 军火/军工
	<input type="checkbox"/> Foreign Consulate Embassy 外国领事馆	<input type="checkbox"/> Medical 医疗	<input type="checkbox"/> Others (please state) 其他(请注明):

2.2 Financial Profile 财务状况

Source of Investment funds 投资资金来源	<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		
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"/> Funds from Shareholders 股东的资金	<input type="checkbox"/> Return on Investment 投资回报	<input type="checkbox"/> Others 其他 _____		
(3) Annual Net Profit (HK\$) 每年纯利 (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
(4) Total Net Assets (Approx. HK\$) 资产净值 (约港元)	<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
(5) Liquid Net Assets Value - 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 500,000	<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\$ _____
(6) Estimated Investment Amount Per Year (HK\$) 估计每年投资金额 (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
(7) 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 是 <input type="checkbox"/> No 不是				

2.3 Investment Risk Profile 投资风险状况

(8) Have you changed your investment objective, investment experience, investment horizon and/or risk tolerance level 贵公司的投资目标、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贵公司完成我们的[投资风险评估问卷](#)

No 否

Part 3: Related Parties of the Account

第三部份：账户关联方

3.1 Director(s) and Shareholder(s) 董事及股东

Is there any change to director(s) or shareholder(s) and their particulars? 公司董事或股东及其资料是否有任何改变?

Yes 是 → Please provide certified true copy of (i) updated register of director(s)/shareholder(s); and (ii) ID of the director(s)/shareholder(s) 请提供以下文件的核证副本: (i)已更新的董事/股东名册; (ii)董事/股东身份证明文件;及(iii)董事会决议

No 否

3.2 Client Authorization (If applicable) 客户授权(如适用)

*Please provide board resolution authorizing following person(s) to operate the account on behalf of you. 请提供证明批准授权以下人士运作此账户的董事局决议案。

The Client hereby authorizes the following person(s) to operate the relevant Account(s) with the relevant powers as set out below:

客户特此授权下列人士运作有关账户，并具有下文列载之权力：

(i) Trading Authorization 交易授权:

(1) Name and ID Card No./Passport No. 姓名及身分证号码 / 护照号码	(2) Occupation / Position 职业 / 职位	(3) Address / 地址	(4) Contact No. 联络电话	(5) Specimen 签署式样

Any _____ of the above may sign and effect transaction(s) in the relevant account(s).

上述任何 _____ 人士可签署及就相关账户进行交易。

(ii) Settlement Authorization 交收授权:

(1) Name and ID Card No./Passport No. 姓名及身分证号码 / 护照号码	(2) Occupation / Position 职业 / 职位	(3) Address / 地址	(4) Contact No. 联络电话	(5) Specimen 签署式样

Any _____ of the above may sign and effect transaction(s) in the relevant account(s).

上述任何 _____ 人士可签署及就相关账户进行交易。

3.3 Operation and Ultimate Beneficial Owner 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) 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)
账户持有人

One of the above Authorized Persons: _____
上述其中一名授权人

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): _____

(7) 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): _____

Part 4: Other Disclosures

第四部份：其他披露

(1) Is the client, client's directors, shareholders, beneficial owners or authorized persons a director or major shareholder of any listed company?

客户本身或客户之董事、股东、实益拥有人、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 请提供上市公司的名称和上市地点：

(2) Is the client, client's directors, shareholders beneficial owners or authorized persons (i) a person licensed by or registered with the Securities and Futures Commission; or (ii) an employee of such person?

客户本身或客户之董事、股东、实益拥有人、或授权人是否证监会之持牌或注册人士或该人士之雇员?

No 否 Yes, please provide name of Licensed Corporation/ Registered Institution and/or his/her CE No. 请提供持牌法团或注册机构名称及/或其中央编号：

*Please attach a consent letter of account opening from the employer of the relevant person 请附上相关人士之雇主所发出之开户同意书

(3) Is the client's directors, shareholders beneficial owners or authorized persons a relative of the responsible Account Executive for the account(s)?

客户之董事、股东、实益拥有人、或授权人是否账户之负责客户经纪之亲属?

No 否 Yes, please state the relationship 请陈述与之关系：

(4) Politically Exposed Person 政治人物

Is the client's (i)directors; (ii)shareholders; (iii)beneficial owners and/or (iv)its authorized persons (collectively known as "Related Persons"); (v) spouses, partners, children and/or parents of any Related Persons; and/or (vi)spouse(s) or partner(s) of the child(ren) of any Related Persons; and/or (vii)close associate(s)* of any Related Persons 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, an important political party official, permanent representative stationed in an international organization and etc.)?

客户之(i)董事、(ii)股东、(iii)实益拥有人及/或(iv)其授权人(以下统称为「有关人士」)、(v)任何有关人士的配偶、伴侣、子女及/或父母、及/或(vi)任何有关人士子女的配偶或伴侣、及/或(vii)与任何有关人士关系密切的人*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、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 Related Persons is 如某人符合以下说明, 该人即属与有关人士关系密切的人:

(a) an individual who has close business relations with the Related Person, including an individual who is a beneficial owner of a legal person or trust of which the Related Person is also a beneficial owner; or 该人是与有关人士有密切业务关系的个人(在有关人士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 Related Person. 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有关人士的利益而成立的。

Customer Acknowledgement 客户确认:

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. We confirm and undertake to notify CGI immediately of any changes to any of the aforesaid information. 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.

吾等, 即以下签署人, 确认吾等现时及其后于此「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适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, 吾等确认及承诺立刻以书面通知银河国际。吾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

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

Date 日期

For Official Use Only 只供内部使用			
Confirmed by Licensed Person			
Signature:		Name:	
Recording Date:	Recording Time:	Extension:	
Acknowledge of above confirmation			
Signature:		Name:	
Recording Date:	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	RAF update <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