



現有客戶開立額外證券及/或期貨及/或股票期權帳戶申請表

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: 中國銀河國際證券(香港)有限公司 (「銀河國際證券」)
CE No. / 證監會中央編號: AXM 459

China Galaxy International Futures (Hong Kong) Co., Limited
("Galaxy International Futures")
中國銀河國際期貨(香港)有限公司 (「銀河國際期貨」)
CE No. / 證監會中央編號: AYH 772

Date 日期: _____

客戶名稱 Name of Client	現有帳戶號碼 Existing Account No.
	額外帳戶號碼 Additional Account No.

I/We _____ (ID No./ Passport No.: _____) hereby apply to open additional **Securities Cash || #Securities Margin || Futures || ^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 _____ (身份證/ 護照號碼: _____) 謹此向 貴公司申請開立 額外 **證券現金 || #證券孖展 || 期貨 || 股票期權交易帳戶, 帳戶名稱爲 _____, 所有個人或公司資料、已同意的條款及條件均與本人/吾等上述現有帳戶相同。

Electronic Trading 電子交易:	
**Securities Cash/ Securities Margin/ Futures/ Stock Options Account(s) require electronic trading service(s)? **證券現金/ 證券孖展/ 期貨/ 股票期權 帳戶選用電子交易服務? Please provide your email address if you require electronic trading service(s) 如選用電子交易服務, 請您必須提供電郵地址: _____	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Account Opening supplementary information 客戶開戶補充資料:	
Reason(s) for opening the additional account(s)? (Applicable to open same type of account only) 客戶開立額外帳戶的原因? (只適用於開立同類型帳戶)	
Have the Client ever declared bankruptcy? 客戶是否曾經宣佈破產?	<input type="checkbox"/> Yes 是 (Please provide the date and details 請提供日期及詳情: _____) <input type="checkbox"/> No 否
Is/Are the additional account(s) operated by the Client? 額外帳戶是否由客戶本人操作?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 (Please specify the name of the authorized person 請說明帳戶操作人爲: _____)
Have the Client change any personal information/corporate information? 客戶是否曾經更改個人資料或公司資料?	<input type="checkbox"/> Yes 是 (Please provide the updated details 請提供更新資料: _____) <input type="checkbox"/> No 否

注意 Note:

- **Please delete whichever is not appropriate. **請刪去不適用者。
- ^Client with Securities Cash Account cannot short call/ put options in the Stock Options Account. 客戶如持有證券現金戶口將不能在其股票期權戶口沽出認購或認沽期權。
- #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". #如欲開立額外證券保證金帳戶, 客戶需簽署根據「證券及期貨(客戶證券)規則」有關出售, 借出或存放證券及/或證券抵押品的授權。
- 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. 客戶開立的額外帳戶並不附帶任何於現有帳戶已生效的第三者/委託授權。若額外帳戶非由客戶本人操作, 客戶需同時填妥「第三者授權書」或「委託帳戶授權書」。
- 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. 如欲開立額外帳戶, 公司客戶需提供董事局決議案證明批准開立額外帳戶及授權有關人士運作該帳戶。
- For opening MultiCharts system. Client must provide Non-Professional Self-Certification Form. 如欲開立 MultiCharts 中國版軟件, 客戶需同時提供非專業人員自我證明書。

Declaration by Licensed Representative 持牌代表聲明

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.

上述之風險披露聲明已由本公司下列簽署之註冊人員按照客戶選擇的語言提供, 並邀請客戶閱讀該/ 該等風險披露聲明、提出問題及徵求獨立意見。

註冊人簽署

Signature of Registered Person : _____ 中央編號 CE No. : _____

註冊人姓名

Name of Registered Person : _____ 日期 Date : _____

持有牌照 License Type : ☐ 證券 Securities ☐ 期貨 Futures

☐ Face to Face 面對面 ☐ Telephone 電話 _____ (Recorded Line No.錄音電話號碼) _____ (Time 時間)





Declaration and Signature 聲明及簽署

- I/We declare that my/ our current personal/corporate information, trading authorization and settlement authorization are 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/吾等聲明本人/吾等現時之個人資料/公司資料, 交易授權及交收授權與最新留存於**銀河國際證券及/或銀河國際期貨**之紀錄一樣, 並同意將本人/吾等於**銀河國際證券及/或銀河國際期貨**之現有帳戶之個人資料/公司資料用作開設額外帳戶之用。
- 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/吾等證實已收取、閱讀及明白 “帳戶條款及條件 - 開戶合同書” (“條款及條件”), 包括但不限於有關風險披露聲明, 一般條款及免責聲明, 證券現金或證券升展及/或期貨及/或股票期權交易帳戶之附加條款及任何由本人/吾等與**銀河國際證券及/或銀河國際期貨**不時訂立之書面補充條款及條件, 包括任何有關證券保證金帳戶之抵押品授權書。
- 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/吾等特此接納及同意受條款及條件約束。 **銀河國際證券及/或銀河國際期貨**有權不時更改條款及條件, 並向本人/吾等發出通知, 除非**銀河國際證券及/或銀河國際期貨**收到本人/吾等取消帳戶通知, 否則表示本人/吾等接受該更改條款及條件。
- 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/吾等現聲明及確認已獲得並完全瞭解按照本人/吾等選擇之語言之風險披露聲明, 本人/吾等已獲邀閱讀此風險披露聲明, 並按照本人/吾等意願提出問題及徵求獨立意見。
- 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**銀河國際證券及/或銀河國際期貨**(視情況而定)有最終接納開立額外帳戶與否之權利。
- 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** 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. 本人/吾等確認本人/吾等本身之帳戶及以當事人身份與**銀河國際證券及/或銀河國際期貨**訂立每一項交易, 本人/吾等亦為所有本人/吾等與**銀河國際證券及/或銀河國際期貨**(視情況而定)訂立有關交易之受益人。

X

客戶簽署 Client's Signature(s)

請用留存於**銀河國際證券及/或銀河國際期貨**紀錄之簽署式樣 Please use signature(s) filed with **Galaxy International Securities and/or Galaxy International Futures** .

For Official Use Only 供內部填寫

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

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

Stock Options

股票期權

Commission Rate 佣金率(%)

%, Min

For Futures Transactions 如屬期貨買賣：

AE Name and AE code 客戶主任姓名及編號		How long known to AE 與客戶主任認識時間	
Futures / Options Contracts 期貨/期權合約	Day Trade (each way) 即日買賣 (每邊)	Overnight Trade (each way) 正常買賣 (每邊)	
Hong Kong Futures (per contract per side) 香港期貨 (每合約每邊)			
Hong Kong Options (per contract per side) 香港期權 (每合約每邊)			
Global Futures/Options (per contract per side) 海外期貨/期權 (每合約每邊)			
Market Data 市場行情	<input type="checkbox"/> RT CME <input type="checkbox"/> Delay CME <input type="checkbox"/> ICE <input type="checkbox"/> Other_____		

Special Considerations & Comments 特別考慮因素及意見:

Signature of AE
客戶主任簽名

Document checked by:
文件核對經手人:

Account Opening Approved By:
開戶批准人:

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 : 中國銀河國際證券(香港)有限公司

Standing Authority under Securities & Futures (Client Securities) Rules 根據《證券及期貨(客戶證券)規則》所設立的常設授權

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)**”):
本常設授權是有關處置(如下文所載)由貴公司於在香港開設及持有並指定為客戶帳戶或信託帳戶的一個或多個帳戶(「**客戶帳戶**」)代表本人/吾等持有的本人/吾等的證券或證券抵押品,詳列如下:

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.

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

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

本常設授權構成根據證券及期貨(客戶證券)規則所指的常設授權,並授權貴公司:

1. 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;
根據開戶合同書帳戶條款及條件所載的條款,依據證券借貸協議運用任何本人/吾等的證券或證券抵押品;
2. deposit any of my/our securities collateral with an authorized financial institution as collateral accommodation provide to you;
將任何本人/吾等的證券抵押品存放於認可財務機構,作為該機構向貴公司提供財務通融之抵押品;
3. 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;
將任何本人/吾等的證券抵押品存放於香港中央結算有限公司(「香港結算」),作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品。本人/吾等明白香港結算因應貴公司的責任和義務而對本人/吾等的證券設定第一固定押記;
4. 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
將任何本人/吾等的證券抵押品存放於任何其他認可結算所或任何其他獲發牌或獲註冊進行證券交易的中介人,作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品;及
5. 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.
如貴公司在進行證券交易及貴公司獲發牌或獲註冊進行任何其他受規管活動的過程中向本人/吾等提供財務通融,即可按照上述第一、第二、第三及/或第四段所述運用或存放任何本人/吾等的證券抵押品。

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. 貴公司可不向本人/吾等發出通知而採取上述行動。本人/吾等確認並同意本常設授權不影響貴公司為解除由本人/吾等或代本人/吾等對貴公司、貴公司之聯營公司或第三者所負的法律責任,而處置或促使貴公司的聯營公司處置本人。吾等之證券或證券抵押品的權利。

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/吾等確認並同意:

- 當貴公司根據上文1.項運用任何本人/吾等的證券或證券抵押品後,該等證券或證券抵押品將不再由客戶帳戶持有,惟該等證券或證券抵押品的借入人將承諾返還名稱相同的同等證券;
- 本人/吾等能夠評估證券借貸安排的好處,並明白並接納當中有關的風險;及
- 本人/吾等於簽署本常設授權時,並無被施加不當的影響或壓力,或被運用任何不公平的手法。

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

此賦予貴公司之授權乃鑑於貴公司同意繼續維持本人/吾等之證券保證金戶口。

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/吾等的證券可能受制於第三者之權利,貴公司須全數抵償該等權利後,方可將本人/吾等的證券退回給本人/吾等。

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.

本常設授權的有效期為12個月¹。本人/吾等明白本人/吾等可以向貴公司發出書面通知,撤回本常設授權。該等通知之生效日期為貴公司真正收到該等通知後之14日起計。本常設授權亦可由貴公司隨時撤回,惟須給予本人/吾等不少於14日的事先書面通知。

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)貴公司在本常設授權有效屆滿前的最少14日之前,向本人/吾等發出書面通知,提醒本人/吾等本常設授權即將屆滿,而(ii)本人/吾等沒有在此授權屆滿前反對此授權續期,本常設授權應當作在不需要本人/吾等的書面同意下按持續的基準已被續期12個月(或於書面通知中指定的不超過12個月的其他時期)。

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.

倘若本常設授權的中文本與英文本在釋義或涵義方面有任何差異,本人/吾等同意應以英文本為準。

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

本人/吾等已獲解釋清楚本函件的全部內容,本人/吾等明白及同意本函件的內容。

X



Client Signature 客戶簽署

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。