

To: China Galaxy International Securities (Hong Kong) Co., Limited CE No. AXM 459

Date _____

Name of Client	Account No.
----------------	-------------

Confirmation on the Capacity of a RRI in relation to the HKIDR and OTCR

Under the HKIDR, relevant licensed corporations and registered institutions (collectively “Relevant Regulated Intermediaries” or “RRIs”^[1]) would have to ensure a unique identification code, namely a Broker-to-Client Assigned Number (“BCAN”) has been assigned to each “Relevant Client” who has placed or proposes to place an on-exchange order or an off-exchange trade reportable to the Stock Exchange of Hong Kong (“SEHK”) per its rules, in securities listed or traded on the trading system of SEHK. The corresponding BCAN is also required to be included in the order information for each on-exchange/ off-exchange order and reporting of off-exchange trades to SEHK.

In order for us to comply with the requirements of the Hong Kong Investor Identification Regime (“HKIDR”) and OTC Securities Transaction Reporting Regime (“OTCR”), we would like to inform China Galaxy International Securities (Hong Kong) Co., Limited (“CGIS”) our HKIDR regulatory information by providing our RRI status of our account(s) and related sub-account(s) opened in CGIS.

Please tick the appropriate box below:

RRI Status	Option	Confirmation Details	Supplementary Information
<input type="checkbox"/> RRI	<input type="checkbox"/> (1) Client Orders or Proprietary Trading	Yes, our company acts in <i>RRI capacity</i> . For all transactions that are placed under your account(s) and the related sub-account(s) opened in CGIS, we acknowledge that we will: - send our orders with pre-assigned BCAN, and CGIS will pass on the pre-assigned BCAN onwards to the SEHK; - be responsible to submit the BCAN-CID Mapping file to the SEHK directly and keep the BCAN-CID file up to date; - ensure the accuracy of BCAN provided to CGIS. Upon we awareness of any BCAN tagging errors, we are responsible to notify CGIS immediately so CGIS can file the error report to the SEHK in a timely manner; - only send our buy orders on behalf of our end clients with their consent to providing their CID under HKIDR.	CE No.: _____ Please provide Client’s BCAN for every transaction.
	<input type="checkbox"/> (2) Aggregated Orders	Yes, our company acts in <i>RRI capacity</i> . When CGIS receives our order, the order is tagged with the BCAN “[CE number].2”. All upcoming orders are aggregated orders. We have the duty to submit “Aggregated Transaction Report” by ourselves within T+3.	CE No.: _____
<input type="checkbox"/> Non RRI	N/A	No, our company does not act in RRI capacity. For all transactions that are placed under our account(s) and the related sub-account(s) opened in CGIS, we acknowledge that CGIS will: - tag each of our orders submitted to the SEHK with a BCAN that is assigned by CGIS and unique to our account(s); - provide SEHK the assigned BCAN and such identification information (CID) relating to us.	Please complete Confirmation of Client Identification Data if didn’t provided before

I confirm that if there is any change to our RRI capacity in the future, we are required to inform you immediately.

Yours faithfully,

Authorized Signatory
Name of the Undersigned:
*Please use signature(s) filed with us

For Official Use Only		
S.V.	Inputted By	Approved By

^[1] A RRI is a licensed corporation or registered institution which:

- submits (or arranges to submit) for execution an on-exchange order/ carries out an off-exchange order/ conducts off-exchange trade reporting in connection with its carrying out of any of the following activities:
- proprietary trading; and
- provision of securities brokerage services for a person in respect of orders placed through an account opened and maintained for that person

If a RRI also provides services related to fund management or discretionary account management, whether it should be identified as RRI depends on whether it is acting in the capacity of a RRI (see above) when it handles a securities order in the account maintained in CGIS.