



Account No. 賬戶號碼:	
Account Opening Date 開戶日期:	

Client Information Statement – Institutional Professional Investor

客戶資料表 – 機構專業投資者

ACCOUNT TYPE 賬戶類別			
戶口種類 Account Type	<input type="checkbox"/> 現金賬戶 Cash Account	<input type="checkbox"/> 保證金賬戶 Margin Account	賬戶形式 Account Nature
			<input type="checkbox"/> House Account 公司賬戶 <input type="checkbox"/> Client Account 客戶賬戶
電子服務 Electronic Services	交易確認及賬單透過以下方式發送(只選一項)Trading confirmation and statements will be sent by (select one):	<input type="checkbox"/> 電郵 By email <input type="checkbox"/> 郵寄 By Post (月費 HK\$100) <input type="checkbox"/> 註冊地址 Registered Address <input type="checkbox"/> 通訊地址 Correspondence Address	電郵地址 Email Address : <input type="checkbox"/> 電子交易服務 Electronic Trading Service

CLIENT INFORMATION (INSTITUTIONAL ACCOUNT) 客戶資料 (機構戶口)		
客戶名稱 Name of Client: 英文 English: 中文 Chinese: (if applicable)	營業名稱(如異於公司名稱) Trading Name (if different from Company Name):	
註冊國家 Country of Incorporation	註冊日期 Date of Incorporation	業務性質 Business Nature
公司註冊證明書編號 Certificate of Incorporation No.:	商業登記證編號 Business Registration Certificate No.:	公司性質 Nature of Entity (i.e. Partnership, private limited Company, public listed company, etc.)
註冊地址 Registered Address:		
主要營業地址(如與上文不同, 請附上地址證明) Principle Business Address (if different from above please attach address proof):		
通訊地址(如與上文不同, 請附上地址證明)Correspondence Address (if different from above please attach address proof) :		
Office Telephone No. 辦事處電話號碼:	Office Fax No. 辦事處傳真號碼:	

客戶聲明、確信及確認 CLIENT DECLARATIONS, CONFIRMATIONS AND ACKNOWLEDGEMENTS
<p>本公司聲明及確認 We declare and acknowledge that:</p> <p>1. 我們保證本客戶資料表格和我們以下提供的附加文件所載的資料在各方面均是真實、完整和正確的, 並授權富盈證券集團有限公司(簡稱“富盈”)通過其認為必要的任何途徑加以核實。 We warrant that the information contained in this Client Information Statement and the supporting documents provided by us as set out are true, complete and correct in all aspects and authorize Galaxy Treasure Securities Group Limited (“GTSG”) to verify it with any source that it may deem necessary.</p> <p>2. 我們是證券及期貨條例(香港法例第 571 章)下的機構專業投資者, 並同意被視為專業投資者。如我們不再符合專業投資者資格, 我們將立即通知富盈。 We are a Professional Investor (as defined under the Securities and Futures Ordinance (“SFO”) (Cap. 571 of the Laws of Hong Kong) and agree to be treated as such. We shall inform GTSG immediately if we no longer qualify as an Institutional Professional Investor.</p> <p>3. 除非我們另有指示, 我們同意並承認富盈不需要根據證券及期貨(成交單據, 賬戶結單及收據) 規則向我們提供成交單據, 賬戶結單及收據。證券交易業務條款-專業投資者已供我們參閱。</p>



We agree and acknowledge that GTSG is not required to provide us with contract notes, statements of accounts or receipt pursuant to the Securities and Futures (Contracts Notes, Statements of Accounts and Receipts) Rules, unless we instruct otherwise. The Terms of Business for Securities Trading-Professional Investor has been made available to us.

4. 我們確定已經閱讀本客戶資料表格及被視為專業投資者的後果、證券交易業務條款-專業投資者連同與富盈提供的服務有關的附錄(如適用)，並完全明白其中內容。本客戶資料表格連同證券交易業務條款-專業投資者及附錄(如適用)合稱該"協議"。

We confirm that we have read and fully understand this Customer Information Statement, the notes to this Customer Information Statement (including the consequence of being treated as professional investor as set out, the Terms of Business for Securities Trading-Professional Investor together with any Addendum in relation to the services provided by GTSG (if applicable). This Customer Information Statement, together with Terms of Business for Securities Trading-Professional Investor and the Addendum (if applicable) are collectively referred to as the "Agreement".

5. 我們同意並承認如我們與富盈經營業務或繼續與其經營業務，我們將被視為接受並同意遵守該協議所載的條款和條件，不論富盈有否收到我們的一份本客戶資料表格的簽署文本，而自我們首次與富盈進行任何業務之日起，該協議應構成富盈與我們之間具法律約束力的合約。我們會另外簽發常設交易和交收指示給你們以便日後的業務處理。

We agree and acknowledge that if we carry on or continue to carry on business with GTSG, we will be deemed to accept and abide by the terms and conditions set out in the Agreement regardless of whether GTSG has received from us an executed copy of this Customer Information Statement, and that the Agreement shall constitute a legally binding contract between GTSG and us with effect from the date upon which we first transact any business with GTSG. Our standing dealing and settlement instructions will be issued to you separately for your further action accordingly.

6. 根據通知書，富盈可向其他人士提供本公司的個人資料，供彼等用於直銷推廣。

GTSG may provide our company Personal Data to other persons for their use in direct marketing in accordance with the Notice to Customers Relating to Personal Data (Privacy) Ordinance.

- 本公司確認個人資料(私隱)條例通知並同意富盈使用及向其他人士提供本公司的資料作直接促銷用途。

We acknowledge Notice of Personal Data (Privacy) Policy and consent GTSG to use or provide to other persons our data for use in direct marketing.

- 本公司確認個人資料(私隱)條例通知但不同意富盈使用或提供本公司的資料予其他人士作直接促銷用途。

We acknowledge Notice of Personal Data (Privacy) Policy but do not consent GTSG to use or provide to other persons our data for use in direct marketing.

* 請選擇適當項目 Please tick whichever is appropriate

**以上代表貴公司現在對是否接收直接促銷聯繫式資料的選擇。請注意，貴公司的選擇適用於通知書上所載的產品，服務及/或標的類別的直接促銷。亦請貴公司參考該通知書上以得知在直接促銷上可使用的個人資料的種類，以及貴公司的個人資料可提供予甚麼類別的人士以供該等人士在直接促銷中使用。

****The above represents your company present choice whether or not to receive direct market contact or information. Please note that your choice applies to the direct marketing of the classes of products, services and/or subjects set out in the Notice. Please also refer to the Notice on the kinds of Personal Data which may be used in direct marketing and the classes of persons to which your Personal Data may be provided for them to use in direct marketing.**

7. 如本客戶資料表格(包括其注解如適用)的中，英文版本有任何分歧，概以英文版本為準。

In the event of discrepancy between the English version and Chinese version of this Customer Information Statement (including the notes hereto if applicable) the English version shall prevail.

GTSG is a licensed corporation under Securities and Futures Commission (BIT628)

富盈乃香港證券及期貨事務監察委員會之持牌法團 (BIT628)



客戶確認 CLIENT'S CONFIRMATION

由 Signed by:	由以下人士見證 In the presence of :
授權人士簽署及公司印章 Authorized Signature with Company Chop	見證人簽署 Signature of Witness
授權人姓名 Name of Authorized Person : _____	見證人姓名 Name of Witness
賬戶名稱 Name of Account	日期 Date
日期 Date	

VERIFICATION OF IDENTITY (if Account Application Form not executed by the client before Licensed Representative of GTSG) 身份核證(倘客戶未能於富盈持牌代表面前簽署開戶申請表)

This is to certify that I have witnessed the signing of the Account Application Form of GTSG by the applicant. I further confirm that I have verified the applicant's identity against his/her identification documentation 本人謹此認證，見證申請人簽署富盈的開戶申請表。本人已核實申請人的身份證明文件，以進一步確認其身份。

Signature of Witness 見證人簽署: _____ Date 日期: _____

Name of Witness 見證人姓名: _____ Occupation 職務: _____

Professional Qualification Obtained by the Witness and the License Number 見證人已取得的專業資格及牌照號碼:

Employer Address and Contact of the Witness 見證人僱主的地址及聯繫方式:

Note: A witness has to be a registered person, a Justice of the Peace, branch manager of a bank, lawyer, certified public accountant or Notary Public. The witness shall provide a copy of (1)his/her HK ID Card, (2)his/her business card, (3)supporting document(s) of his/her professional qualification. The witness shall also certify copies of the HK ID card(s) and/or passport(s) of all director(s), Authorised Person(s), beneficial owner(s) and person(s) who ultimately originate Instructions to GTSG.

請注意：見證人需為註冊人士、太平紳士、銀行分行經理、律師、註冊會計師或公證人。見證人應提供(1)本人的香港身份證，(2)本人的名片及(3)本人專業資格證明文件的副本。見證人亦應核證所有董事、授權人士、實益擁有人及最終負責向富盈發出指示人士的香港身份證及／或護照副本。

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INTERNAL USE ONLY 內部使用

Risk Disclosure Statements 風險披露聲明

The client has been provided with the relevant Risk Disclosure Statements and disclaimers in a language of the customer's choice. The undersigned licensed or registered staff has invited the client to read the relevant Risk Disclosure Statements and disclaimers set out in the Account Agreement, ask questions and take independent advice if the client wishes.

客戶獲提供以其所選語言編纂的相關風險披露聲明及免責聲明。以下簽名的持牌或登記人員已邀請客戶閱讀賬戶協議所載的相關風險披露聲明及免責聲明、提出問題及徵求獨立意見(如客戶有此意願)。

Signature of Staff Member 簽署: _____	Date 日期:
Name 姓名: _____ (CE No. _____)	
Telephone recording 電話錄音	
Time 時間:	Date 日期:
Telephone extension number 電話分機號碼:	Remark 備註:

NOTE 註

Any deletion or amendment on the agreement/any other relevant documents Must be signed by all account holders (full signature)
協議/任何其他相關文件的任何刪除或修訂須由所有賬戶持有人簽署(全名)

Internal Use Only 只供內部使用

Name of AE and AE Code:	Commission Rate & Minimum Charges:	Trading Limit:
Input Maker (Settlement):	Documentation Checked By:	
Compliance Officer:	Responsible Officer:	Special Approval by Director (if applicable):