27th Floor, Low Block, Grand Millennium Plaza, 181 Queen's Road Central, Hong Kong
香港中環皇后大道中 181 號新紀元廣場低座 27 樓

Update of Client's Information (Individual/ Joint Client)
客戶資料更新表格 (個人/聯名賬戶)

To:
☐ Guotai Junan Securities (Hong Kong) Limited
☐ Guotai Junan Futures (Hong Kong) Limited
☐ Guotai Junan FX Limited
☐ Guotai Junan Assets (Asia) Limited

致:
☐ 國泰君安證券(香港)有限公司
☐ 國泰君安期貨(香港)有限公司
☐ 國泰君安外匯有限公司
☐ 國泰君安資產管理(亞洲)有限公司

Account Name 賬戶名稱	
Account Number 賬戶號碼	
Name of Joint Account Holder 聯名賬戶持有人姓名 (For Joint Account only 只適用於聯名賬戶)	

1. Please fill out those sections of the form which you have not provided before or if the relevant information which you previously provided to us has changed, that you have to inform us of the change(s). Also we shall assume there is no change of your relevant information which you have not provided in the form.
   如閣下從未向本公司就此表格相關部份提供資料或有關資料已更改而需要通知本公司，請填妥此表格相關部份。
   另外，如在表格上並未有提供資料，閣下的現有有關資料會被視為並無更改。
2. You should undertake to promptly notify us if you become or cease be employed by any licensed or registered person to carry on regulated activities as defined in the Ordinance.
   閣下必須承諾如將受僱或不再受僱於受任何持牌法團或註冊機構從事條列界定的受規活動時，立即通知本公司。
3. Please note that when there is update of customer profile information for each holder of a Joint Account at the same time, each holder is required to submit this form separately.
   請注意，如各聯名賬戶持有人之個人資料需同時更改，各持有人需個別提交此表格。
4. Please note that the contact information of primary account holder would be treated as contact information of the Joint Account.
   請注意，第一賬戶持有人之通訊信息將視作聯名賬戶之通訊信息。
5. Please note update of any customer profile information will be applied to all of your accounts maintained with Guotai Junan Group.
   請注意，客戶個人資料之更改將適用於閣下於國泰君安集團開立之所有賬戶。

(I) CHANGE OF CUSTOMER PROFILE INFORMATION 更改客戶個人資料
(Please tick ✓ appropriate box. 請在適當空格加 ✓)

☐ Change of Correspondence Address 更改通訊地址

New Correspondence Address 新通訊地址	

☐ Change of Residential Address 更改住宅地址

Please provide the original or copy of statements which was issued within the latest 1 year as address proof.
請提供最近1年內發出的結單正本或複印本作地址證明。

New Residential Address 新住宅地址	

☐ Change of mailing method (Please tick ✓ one item only) 更改通訊方式 (請只勾選✓一項)

☐By Access to Online Trading Platform 網上交易平台取覽 (Only applicable to account with internet trading services 只適用於開通網上交易服務之賬戶) ^

^Under this option, you will access Statements via Online Trading Platform. Other notifications or correspondences will be provided to you by E-mail.
^如選取此項，您將通過網上交易平台取覽結單，其他通知或通訊資料以電郵提供。

☐By E-mail Address電郵地址 ☐ By Company E-mail Address公司電郵地址

☐By Post to Correspondence Address 郵寄至通訊地址#

Paper Statement will be subject to an Annual Fee (Please refer to Fee Table) 郵寄紙張結單需收取年費 (請參閱收費表)

27th Floor, Low Block, Grand Millennium Plaza, 181 Queen's Road Central, Hong Kong
香港中環皇后大道中 181 號新紀元廣場低座 27 樓

☐ **Update email address 更新電郵地址**	
New Email address 新電郵地址	
☐ **Subscribe / Unsubscribe* research reports sent by email 選擇 / 拒絕* 以電郵收取研究報告** **Please delete as inappropriate 請刪去不適用者*	

☐ **Change of Telephone Number 更改電話**	
(Country Code) Mobile Phone No. (國家區號) 手提電話號碼	( )
(Country Code) Home Tel. No. (國家區號) 住宅電話號碼	( )
(Country Code) Office Tel. No. (國家區號) 辦公室電話號碼	( )

☐ **Change of OTP setting 更改〝一次性驗證碼〞設置**	
☐ Same as above Mobile Phone No.手提電話號碼同上	
☐ Other Mobile Phone No. for OTP 其他獲取〝一次性驗證碼〞手提電話號碼	( )

☐ **Change of Nationality 更改國籍**	New Nationality 新國籍:

☐ **Change of Tax Residency** **更改稅務居民所在國家/司法管轄**	New Tax Residency 新稅務居民所在國家/司法管轄:
請填寫及簽署通用報告準則 (CRS) 自我聲明書及(或) 個人<<海外賬戶稅收合規法案>>自行認證。 *Please provide the Common Reporting Standards (CRS) Self-Certification Form and (or) Individual FATCA Self-Certification.*	

☐ **Change of Marital Status 更改婚姻狀況**			
☐ Single 單身	☐ Married已婚	☐ Divorced 離婚	☐ Widowed喪偶

☐ **Change of Employment 更改就業情況**	
☐ Employed 受僱 ☐ Unemployed 無業 ☐ Self-employed 自僱 ☐ Retired 退休 ☐ Housewife 家庭主婦 ☐ Student 學生	
Employer / Occupation Industry僱主/職業行業 *(Please refer Appendix A for List of Industries and fill in the relevant number* *行業列表請參考附錄甲，並填寫相關代號)*	
Name of Employer 僱主/自僱機構名稱	
Position 職位	
Office Address 辦公室地址	
Company Email Address (Optional) 公司電郵地址(可選填)	

☐ **Change of Financial Profile 更改財務狀況**			
Annual Income (HK$) 全年收入(港幣)	☐ <= $250,000 ☐ $1,000,001-$5,000,000 ☐ >$10,000,000 please specify 須註明: _____	☐ $250,001-$500,000 ☐ $5,000,001-$10,000,000	☐ $500,001-$1,000,000
Net Worth(HK$) 淨資產(港幣)	☐ <=$500,000 ☐ $5,000,001-$10,000,000 ☐ >$100,000,000 please specify 須註明: _____	☐ $500,001-$1,000,000 ☐ $10,000,001-$50,000,000	☐ $1,000,001-$5,000,000 ☐ $50,000,001-$100,000,000
Source of Funds 資金來源	☐ Salary/Business Income 薪俸/營業收入 ☐ Return on Investments 投資回報	☐ Pension 退休金 ☐ Others 其他: _____	

Source of Wealth 財富來源	☐Salary/Business Income 薪俸/營業收入 ☐Sale of Investments 投資回報 ☐Retirement Funds 退休金 ☐Others 其他: _____	☐ Savings 儲蓄 ☐ Inheritance/Gift 遺產/贈物 *(Please fill Appendix B 請填附錄乙)* ☐ Sale of Property/Assets 出售物業/資產

☐ Other Disclosures 其他資料披露

Are you the ultimate beneficial owner ("UBO") of this Account / person ultimately benefiting from the transactions and bearing the risk?
你是否此賬戶的最終實益擁有人/最終受益於交易及承擔風險人士/最終負責發出指示的人士?

☐ Yes 是 ☐ No 不是 (If no, full KYC information and Identity documents of 3rd party are required. 如果不是，需提供第3方之詳細資料及身份證明文件。)

Are you the person ultimately responsible for originating instructions for the account?
你是否向戶口最終負責發出指示的人士?

☐ Yes 是 ☐ No 不是 (If no, full KYC information and Identity documents of 3rd party are required. 如果不是，需提供第3方之詳細資料及身份證明文件。)

Is your spouse currently maintaining Account with the companies of Guotai Junan Group?
您的配偶是否在國泰君安集團的公司開有賬戶?

☐ No 沒有 ☐ Yes 有 (If yes, please specify如有，請述明賬號: _____)

Are you, either alone or with your spouse, in control of 35% or more of the issued shares of any corporate client of Guotai Junan Group?
您是否個人或與您的配偶共同控制任何國泰君安集團的公司客戶35%以上的股權?

☐ No 沒有 ☐ Yes 有 (If yes, please specify如有，請述明賬號: _____)

☐ Update of knowledge of derivatives 更新衍生產品的認識 (Please tick the appropriate box. 請在適當空格加✓)

1. ☐ I have attended courses or seminars on derivative product(s)
我曾接受有關衍生產品的培訓或相關課程

Name of courses or seminars相關培訓或課程名稱

☐ Derivatives knowledge training provided by Guotai Junan group company 國泰君安集團公司提供的衍生產品課程
(Please provide the completed and signed "Derivatives Knowledge Questionnaire" 請提供已完成及簽署之「衍生產品問卷」)

☐ Other courses or seminars 其他培訓或課程

Name of courses or seminars相關培訓或課程名稱: _____

Name of organized institution舉辦機構名稱: _____

Attendance Date出席日期: _____

2. ☐ My current or previous work experience has been related to derivative product(s)
我現時或以往的工作經驗是與衍生產品有關

Name of employer 僱主名稱: _____

Position 職位: _____

Job nature 工作性質: _____

Relevant employment period 在職年期: _____years (年)

3. ☐ I have executed six or more transactions in derivative products within the past three years
我曾在以往三年內進行過六宗或以上衍生產品交易

Name of the financial intermediary(ies) through which you executed the derivative product transactions

你進行上述衍生產品交易時使用的金融機構名稱: _____

Please indicate relevant derivative product transactions experience in "Client Risk Profiling Questionnaire"
請在「風險承受能力問卷」填上相關衍生產品交易經驗

27th Floor, Low Block, Grand Millennium Plaza, 181 Queen's Road Central, Hong Kong
香港中環皇后大道中 181 號新紀元廣場低座 27 樓

(II) CHANGE OF TRADING INFORMATION 更改交易資料

(Please tick ✓ appropriate box. 請在適當空格加✓) **Please delete as inappropriate 請刪去不適用者*

Internet Trading Function 網上交易服務：

☐ **Request 增加** Register of Mobile Phone No. for OTP is required for Internet Trading Function
如增加網上交易服務，必需登記手提電話號碼以獲取"一次性驗證碼"

☐ **Cancel 取消** Not Applicable to Virtual Assets Trading Account 不適用於持有加密貨幣交易賬戶

☐ Add first / Cancel / Change of * Personal Identification Number ("PIN") 首次新增 / 取消 / 更改* 私人密碼 ("PIN")	

☐ **Request/ Cancel* Non-HK Market Trading Function 開通 / 取消* 港股以外的其他證券交易市場：**

☐ Shanghai-Hong Kong Stock Connect 滬港通 (Not Applicable to Mainland Investors 不適用於內地投資者)
☐ Shenzhen-Hong Kong Stock Connect 深港通 (Not Applicable to Mainland Investors 不適用於內地投資者)

☐ Australian shares 澳洲股票	☐ Bonds 債券	☐ Bond Direct (a) (a) 線上債券	☐ Canadian shares (b) (b) 加拿大股票
☐ China B shares 中國 B 股	☐ French shares 法國股票	☐ Funds 基金	☐ German Shares 德國股票
☐ Japanese shares 日本股票	☐ Korean shares 韓國股票	☐ Malaysian shares馬來西亞股票	☐ Singaporean shares 新加坡股票
☐ Taiwanese shares 台灣股票	☐ Swiss shares 瑞士股票	☐ UK shares 英國股票	☐ US shares (a) (a) 美國股票
☐ Structured product 結構性產品(Applicable to Professional Investors only 只適用於專業投資者)			☐ Vietnam shares (c) (c) 越南股票

☐ **Request[(a)(d)] / Cancel* US Futures Trading Function 開通[(a)(d)] / 取消* 美國期貨交易**

(a) If you have never completed a W-8 declaration or the declaration has expired, Please complete and return W-8BEN/W-8BEN-E/W8-IMY IRS tax return forms
如從未填寫W-8申報或申報已過期, 請填寫並交回W-8BEN/W-8BEN-E/W8-IMY美國稅務局（IRS）稅務申報表格
(b) Please complete and return Canadian Market Data Agreement and NR Form 請填寫並交回加拿大市場數據協議書及NR Form
(c) Please read carefully and understand Additional Risk Disclosures on Investing in Vietnamese Securities Market prior requesting Vietnam shares trading function
https://www.gtjai.com/upload/UploadFiles/DownloadForms/Eng/Additional_Risk_Disclosures_on_Investing_in_Vietnamese_Securities_Market.pdf
申請開通越南股票交易前，請先細閱及了解投資越南證券市場附加風險披露聲明
https://www.gtjai.com/upload/UploadFiles/DownloadForms/Chi/Additional_Risk_Disclosures_on_Investing_in_Vietnamese_Securities_Market.pdf
(d) Please complete and return Trading Platform Application and Termination 請填寫並交回申請及終止交易平台

☐ **Change of other information** 更改其他資料:

27th Floor, Low Block, Grand Millennium Plaza, 181 Queen's Road Central, Hong Kong
香港中環皇后大道中 181 號新紀元廣場低座 27 樓

Declaration & Signature 聲明及簽署

I/We hereby declare that the information given in this form is true and correct and that I/We have not willfully withheld any material fact(s). We understand that We may be required to provide additional information or submit documentary proof as to the information provided in this form when requested to do so.
本人/吾等謹此聲明表格上提供之所有資料均為真實及正確，本人/吾等並未刻意隱瞞任何重要事實。除上述提供的資料外，本人/吾等清楚貴司會要求本人/吾等提供更多相關的資料或證明文件。

(Applicable to Chinese Mainland Investors* only) Declaration regarding trading account
(僅適用於中國內地投資者*) 有關交易賬戶之聲明

☐ I/We hereby confirm and declare that, I/we have read, understood and agreed to the declaration and terms as set out in the "Declaration for Chinese Mainland Investors Regarding Trading Account Opening", which has been provided to me/us and is posted on GTJAI's website (www.gtjai.com). I/we further declare that, my/our funding sources are lawful and are not in violation of any capital control regulations of the China Mainland.
本人/吾等在此確認，本人/吾等已閱讀、明白及同意"有關中國內地投資者交易賬戶開立之聲明"項下之聲明及條款。該聲明已提供給本人/吾等並在國泰君安**國際**的網站 (www.gtjai.com) 上發布。本人/吾等亦在此確認，本人/吾等之資金來源屬合法且沒有違反中國內地任何資本管制法規。

* "Chinese Mainland Investor" refers to an individual who uses either or both a resident identity card and a passport issued by the People's Republic of China as an identification document according to a Licensed Corporation's records or when opening an investment account.
"中國內地投資者"指根據持牌法團的紀錄或在開立投資賬戶時，使用中華人民共和國簽發的居民身份證及／或護照作為身分證明文件的個人投資者。

Note: If you are regarded as a Chinese Mainland Investor and have not previously provided the "Declaration for Chinese Mainland Investors Regarding Trading Account Opening" to GTJAI, please read the declaration and tick the box above.
註： 如閣下被視為中國內地投資者，且此前未曾向國泰君安國際提交「有關中國內地投資者交易賬戶開立之聲明」，請閱讀該聲明並勾選上述方格。

IMPORTANT NOTICE REGARDING THE USE OF AUTHENTIC DOCUMENTS 關於使用真實文件的重要通知

BY SIGNING OR SUBMITTING THIS FORM, I/WE CONFIRM THAT ALL INFORMATION PROVIDED IN THIS FORM IS TRUE, ACCURATE AND COMPLETE. I/WE UNDERSTAND THAT IT IS AN OFFENCE UNDER THE LAWS OF HONG KONG TO SUBMIT FORGED OR FALSE DOCUMENTS IN RELATION TO THE ACCOUNT. SUBMITTING FORGED OR FALSE DOCUMENTS MAY RESULT IN SERIOUS CONSEQUENCES, INCLUDING, BUT NOT LIMITED TO, ACCOUNT TERMINATION, BEING REPORTED TO LAW ENFORCEMENT AGENCIES AND POSSIBLE CRIMINAL PROSECUTION.

簽署或提交此表格，即表示本人/吾等確認此表格所提供的所有資料均屬真實、準確及完整。本人/吾等明白，根據香港法律，提交與賬戶相關的偽造或虛假文件屬違法行為。提交偽造或虛假文件可能引致嚴重後果，包括但不限於終止賬戶、被舉報予執法機關，以及可能面臨刑事檢控。

Client Signature 客戶簽署	Date 日期

For GTJA Use Only	Signature Verified	Inputted	Reviewed
Signature:			
Date:			

APPENDIX A – 附錄甲
LIST OF INDUSTRIES NO. 1 - 40
行業列表項目 1- 40
(updated in January 2026)

1. Accommodation and Travel Services 住宿及旅遊服務	2. Activities of Religious Organisations 宗教組織活動	3. Advertising and Market Research 廣告及市場研究
4. Arms, Defense, Military-related Entities 軍火、國防、軍事相關實體	5. Atomic Power-related Entities 原子能相關實體	6. Auction House/Pawnshop 拍賣行/當舖
7. Civil Engineering, Construction and Engineering, Architecture Engineering and Activities 土木工程、建築與工程、建築工程及相關活動	8. Crop and Animal Production, Hunting and Related Service Activities 農作物及動物養殖、狩獵及相關服務活動	9. Dual Use Goods Trader/Manufacturer - Aerospace/Marine Products and Propulsion Systems/Lasers and Sensors 雙用途商品交易商/製造商 - 航空航太/海洋產品和推進系統
10. Embassies 大使館	11. Entertainment (e.g. Casino and Gambling-related Business, Bar, Disco, Night Club etc.) 娛樂場所（如賭場和賭博相關業務、酒吧、的士高、夜總會等）	12. Financial Service Activities (including Banks, Broker and Dealers, Financial Holdings Company and Insurance and Pension Fund) 金融服務活動（含銀行、經紀商、金融控股公司、保險和退休基金）
13. Food and Beverage Service Activities 餐飲服務活動	14. Healthcare and Veterinary Services 醫療保健及獸醫服務	15. Import and Export, Wholesale and Retail Trade (except High Value Items) 進出口貿易批發及零售業（除高價值物品外）
16. Information Technology Service Activities (e.g. the Provision of IT Services, Software Development and Consulting etc.) 資訊科技服務活動（如提供 IT 服務、軟件開發及諮詢等）	17. Legal and Accounting Activities 法律及會計活動	18. Licensed Non-Government Organization 經許可非政府組織
19. Manufacture of Daily Essentials/Household Goods (e.g. Food and Beverage, Textiles, Furniture, Electronic Equipment etc.) 民生用品的製造（如食品飲料、紡織品、傢俱、電子設備等）	20. Manufacture of Tobacco, Pharmaceuticals/Chemical/Metal Products or Transport Equipment 煙草製品/藥品/化學品/金屬製品/運輸設備的製造	21. Marijuana-related Entities 大麻相關實體
22. Mining, Extraction and Trading of Fossil Fuels, Precious Metal and Ores (e.g. Coal, Petroleum, Natural Gas, Precious Metals, and Ores etc.) 化石燃料、貴金屬與礦物的開採與貿易（如煤炭、石油、天然氣、貴金屬及礦物等）	23. Other Not Listed: Please State 其他未列出的行業：請說明	~~24. Personal Investment Company/Vehicle 個人投資公司/工具[1]~~
25. Personal Service Activities (e.g. Laundry and Dry-cleaning Services, Beauty and Body Prettifying Treatment, Massage Services etc.) 個人服務活動（如洗滌及乾洗服務、美容及美體護理、按摩服務等）	26. Postal and Courier Activities 郵政及速遞活動	27. Public Services 公共服務
28. Purchasing Agent and Key Opinion Leader E-commerce 代購及網紅帶貨	29. Real Estate Activities 地產活動	30. Regulated Money Services Business (e.g. Money Exchange, Money Remitters, Check Cashers)

[1] Please note: This option is not applicable to individuals. 請注意：此選項不適用於個人。

		受監管的貨幣服務企業（例如: 貨幣兌換、匯款或支票兌現）
31. Repair and Installation Services (e.g. Motor Vehicles, Motorcycles, Computers, Personal and Household Goods, Machinery and Equipment etc.) 維修及安裝服務 （如汽車、電單車、電腦、個人及家庭用品、機械及設備等）	32. Scientific Research and Development 科學研究及發展	33. Security and Investigation Activities 保安及偵查活動
34. Shell Banks or Shell Financial Institutions 空殼銀行或空殼公司金融機構	35. Telecommunications 電訊	36. Transportation 運輸
37. Unlicensed Banks/Non-Bank Financial Institutions (including Unlicensed Money or Value Transfer Services/Money Services Businesses/Payment Service Providers) and Unlicensed and Unregulated Virtual Asset Exchange/Trading Platform Operators 無牌銀行/非銀行金融機構（包括無牌貨幣或價值轉移服務/貨幣服務企業/支付服務提供者）及無牌和非受監管虛擬資產交易所/平台營運者	38. Unregulated Charities 無監管慈善機構	39. Utilities 公用事業
40. Wholesale/Retail/Import/Export of High Value Items (e.g. Watches/Jewelry/Precious Metals, Art/Antique, Wine, Vehicles/Vessels/Aircraft etc.) 高價值物品進出口貿易/批發/零售（如鐘錶珠寶/貴金屬、藝術品/古董、酒類、汽車/船舶/飛機等）		

APPENDIX B 附錄乙

INHERITANCE/GIFT INFORMATION (PLEASE COPY THIS PAGE TO COMPLETE IF MORE THAN 1 PERSON)
遺產/贈物資料 (如多於1人，請複印此頁填寫)

(Please tick ✓ appropriate box. 請在適當空格加✓)

☐ INHERITANCE BENEFACTOR 遺贈人		☐ GIFT DONOR 饋贈人	
☐ Mr.先生 ☐ Ms.女士 ☐ Mrs.夫人	Last Name (English): 英文姓:	First Name (English): 英文名:	Chinese Name: 中文姓名:
	Relationship with the client/beneficial owner: 與客戶或實益擁有人之關係:		Occupation: 職業:
Form of Inheritance/ Gift 遺產/贈物形式:			
☐ Cash 現金及儲蓄 ☐ Properties 物業		☐ Securities 證券 ☐ Others 其他: _____	
Value(HKD): 價值(港元):			