国泰海通 GUOTAI HAITONG

GUOTAI JUNAN SECURITIES (HONG KONG) LIMITED
國泰君安證券(香港)有限公司
GUOTAI JUNAN FUTURES (HONG KONG) LIMITED
國泰君安期貨(香港)有限公司
GUOTAI JUNAN FX LIMITED
國泰君安外匯有限公司
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
Website 網址: www.gtjai.com

只供內部使用 Internal Use Only
Client Code: _____
AE Code: _____
Related Account: _____
Checked by: _____
Date: _____

ACCOUNT OPENING FORM (CORPORATE ACCOUNT) 開戶申請表格(公司賬戶)

Please provide:
1. Certified true copies of:-
   (a) Passports or identity cards of Authorized Signatories, Authorized Traders, Directors and Shareholders/Beneficial Owners holding no less than 10% of shareholdings;
   (b) Company Search Report (for locally incorp. & issued within last 6 months);
   (c) Certificate of Incumbency (for overseas incorp. & issued within last 6 months);
   (d) Certificate of Incorporation;
   (e) Business Registration Certificate (if applicable);
   (f) Memorandum & Articles of Association;
   (g) Address proof of Business Address (if different from Registered Address);
   (h) Address proof of Individual Shareholders / Beneficial Owners (within 1 year);
   (i) Director's Declaration on Ownership Chart (if applicable); and
   (j) Latest Annual Return, Notification of Change and Register of Directors and Shareholders.
2. Settlement Instructions (if applicable)
3. Financial Statements / Deed of Guarantee (copy of identity document of all guarantors, applicable to Margin/Futures/FX account)
4. Client Risk Profiling Questionnaire – Investment Products (for Corporate Account)
5. Standing Authority (Applicable for Futures/FX account opening)

請提供:
1. 下列經簽名驗證之複印本:-
   (a) 授權簽署人、授權交易員、董事及擁有不少於 10%的股本的股東/實益擁有人之護照或身份證;
   (b) 公司查冊報告 (適用於本地註冊的公司，在過去 6 個月內簽發);
   (c) 現任職位證明書 (適用於海外註冊的公司，在過去 6 個月內簽發);
   (d) 公司註冊證明書;
   (e) 商業登記證 (如適用);
   (f) 組織章程大綱及章程細則;
   (g) 業務地址證明 (如與註冊地址不同) ;
   (h) 個人股東/實益擁有人之住址證明 (最近 1 年內) ;
   (i) 董事聲明有關擁有權的圖表 (如適用);及
   (j) 最近期之公司註冊處週年申報表、資料更改通知及董事及股東名冊
2. 交收指示 (如適用)
3. 財務報表 / 擔保書 (所有擔保人之身份證明文件副本，適用於保證金(孖展)/期貨/外匯賬戶)
4. 投資產品 - 風險承受能力問卷 (公司客戶)
5. 常設授權(適用於開設期貨/外匯賬戶)

Please note: Information provided in this form will be shared and used by Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited if client opens/maintains any accounts with such Guotai Junan entities. 請注意：若閣下在國泰君安證券(香港)有限公司、國泰君安期貨(香港）有限公司及國泰君安外匯有限公司開設或維持賬戶，閣下在此表格提供之資料將會予該等國泰君安公司分享及使用。

1 ACCOUNT TYPE 賬戶類別 *(Please tick ✓appropriate box. 請在適當空格加✓)*

☐ **Securities 證券賬戶**

(Please tick ✓one item only 請只勾選✓一項) ☐ Cash 現金賬戶 ☐ Margin(a) 保證金賬戶(孖展賬戶)(a)

Do you require internet trading services of Securities Trading Account? 您是否需要開通證券交易賬戶網上交易服務?
(Please tick ✓one item only 請只勾選✓一項) ☐ Yes 是 ☐ No 否

Client Type for Investor Identification Purpose 投資者識別碼客戶類別: ☐ Funds 基金 ☐ Fund Managers 基金經理 ☐ Others 其他

Please specify for trading in non-HK securities 如需要開通港股以外的其他證券交易請述明:

☐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(b) 線上債券(b)	☐Canadian shares(c) 加拿大股票(c)
☐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(b) 美國股票(b)
☐Structured product 結構性產品(Applicable to Professional Investors only 只適用於專業投資者)			☐Vietnam shares(d)越南股票(d)

☐ **Stock Options 股票期權** (Knowledge of derivatives is required 必須具備衍生產品的認識) Please specify 請述明:

☐ HK Stock Options(e) 香港股票期權(e)
Do you require internet trading services of HK Stock Options Trading Account?
您是否需要開通香港股票期權交易賬戶之網上交易服務?
(Please tick ✓ one item only 請只勾選✓一項) ☐Yes 是 ☐ No 否

☐ US Stock Options(b) 美國股票期權(b) (Applicable to Professional Investors and choosing Securities Margin Account and US shares market only 只適用於專業投資者並同時開立證券孖展賬戶(保證金賬戶)及開通美國股票市場之客戶)
Do you require internet trading services of US Stock Options Trading Account?
您是否需要開通美國股票期權交易賬戶之網上交易服務?
(Please tick ✓ one item only 請只勾選✓一項) ☐Yes 是 ☐ No 否

☐ **US Stock Short Selling Trading Account**(b) (Applicable to choosing Securities Margin Account and US shares market only)
開通美國股票沽空交易賬戶(b) (只適用於同時開立證券孖展賬戶 (保證金賬戶) 及開通美國股票市場之客戶)
Do you require internet trading services of US Stock Short Selling Trading Account? 您是否需要開通美國股票沽空交易賬戶之網上交易服務?
(Please tick ✓one item only 請只勾選✓一項) ☐Yes 是 ☐ No 否

☐ **Futures 期貨賬戶**(Knowledge of derivatives is required 必須具備衍生產品的認識) ☐ **FX 外匯賬戶**

Do you require internet trading services of Futures Trading Account?
您是否需要開通期貨交易賬戶之網上交易服務?
(Please tick ✓one item only 請只勾選✓一項) ☐Yes(f) 是(f) ☐ No 否
Do you require trading in US Futures? 您是否需要開通美國期貨交易?
(Please tick ✓ one item only 請只勾選✓一項)☐Yes(b)(f) 是(b)(f) ☐ No 否

Do you require internet trading services of Foreign Exchange Trading Account? 您是否需要開通外匯交易賬戶之網上交易服務?
(Please tick ✓ one item only 請只勾選✓一項) ☐Yes 是 ☐ No 否

(a) Please provide agreement for securities margin trading and deed of guarantee 請同時提供證券保證金交易協議書及擔保書
(b) 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
(c) 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
(d) 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
(e) Please complete and return Hong Kong Stock Options Position Limits and Large Open Position Reporting Requirements 請填寫並交回香港股票期權持倉限額及須申報的持倉量規則
(f) Please complete and return Trading Platform Application and Termination 請填寫並交回申請及終止交易平台

国泰海通 GUOTAI HAITONG

2 CORPORATE INFORMATION 公司資料 *(Please tick ✓appropriate box. 請在適當空格加✓)*

Company Name (English): 公司名稱(英文):	Company Name (Chinese): 公司名稱(中文):

Type of Company 公司類別:

☐ State-owned Company 國有企業
☐ Listed Company 上市公司 Stock Code 股票代號：_____
☐ Limited Company 有限公司
☐ Partnerships and Unincorporated bodies 合夥及非法團團體
☐ Fund Management/Asset Management 基金管理/資產管理
☐ Local Government Financing Vehicles (LGFV)地方融資平台

Country 國家：_____ Exchange 交易所/Market 市場：_____
☐ Not-for-Profit Organization 非牟利組織
☐ Non-Bank Financial Institution 非銀行金融機構
☐ Others (please state) 其他 (請註明)：
_____

Nature of Business 業務性質 (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)	

Registered Office Address: 註冊地址:	Country 國家:
Principle Address of Business: 主要營業地址:	Country 國家:
Correspondence Address 通訊地址：	Country 國家:

E-mail address:
電郵地址:

Preferred mailing method (please select either one) 請選擇您的通訊方式 (只選一項):

☐ 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 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)

Please provide relevant identity document and fill in details in following descending order of priority[1].
請依照下列的優先排序依次提供相關身份證明文件，並填寫信息[1]。
Please put "N/A" if not applicable.
如不適用，請填上 "N/A"。

(1)	Legal Entity Identifier registration document and No.: 全球法人機構識別編碼登記文件及號碼:	(2)	Certificate of Incorporation and No.: 公司註冊證明書及號碼:
(3)	Certificate of Business Registration and No.: 商業登記證及號碼:	(4)	Other equivalent identity document: 其他同等身份證明文件：
	Place of Issue of Business Registration Certificate: 商業登記證發出地:		Name and no. of identity document: 身份證明文件名稱及號碼:

Country of Incorporation: 註冊國家:	Date of Incorporation: 註冊日期:

Location where Major Business is Operated:
主要業務營運地區:

(Country Code) Office Tel. No.: (國家區號) 辦公室電話號碼: ( )	(Country Code) Mobile Phone No.: (國家區號) 手提電話號碼: ( )	(Country Code) Fax No.: (國家區號) 傳真號碼: ( )

Mobile Phone No. for OTP for Internet trading services of Securities Trading Account
獲取證券交易賬戶網上交易服務「一次性驗證碼」 的手提電話號碼

☐ Same as above Mobile Phone No.手提電話號碼同上 ☐ Other Mobile Phone No. 其他手提電話號碼: ( ) _____

Annual Revenue (HKD): 全年營業額(港元):	☐ <=$500,000 ☐ $5,000,001-$10,000,000 ☐ > $100,000,000, please specify 須註明 [2]:	☐ $500,001-$1,000,000 ☐ $10,000,001-$50,000,000	☐$1,000,001-$5,000,000 ☐$50,000,001-$100,000,000
Annual Net Profit (HKD): 全年淨利潤(港元):	☐ <= $500,000 ☐ $5,000,001-$10,000,000 ☐ > $100,000,000, please specify 須註明 [3]:	☐ $500,001-$1,000,000 ☐ $10,000,001-$50,000,000	☐$1,000,001-$5,000,000 ☐$50,000,001-$100,000,000
Total Assets (HKD): 總資產(港元):	☐ <= $1,000,000 ☐ $10,000,001-$50,000,000 ☐ > $500,000,000, please specify 須註明 [4]:	☐ $1,000,001-$5,000,000 ☐ $50,000,001-$100,000,000	☐ $5,000,001-$10,000,000 ☐ $100,000,001-$500,000,000
AUM (HKD) (if applicable): 資產管理規模(港元)(如適用):	☐ <= $1,000,000 ☐ $10,000,001-$50,000,000 ☐ > $500,000,000, please specify 須註明 [5]:	☐ $1,000,001-$5,000,000 ☐ $50,000,001-$100,000,000	☐ $5,000,001-$10,000,000 ☐ $100,000,001-$500,000,000
Source of Wealth: 財富來源:	☐ Business Income 營業收入 ☐ Sale of Investments 投資回報	☐ Sale of Property/Assets 出售物業/資產 ☐ Others 其他: _____	
Source of Funds: 資金來源:	☐ Business Income 營業收入 ☐ Return on Investments 投資回報	☐ Sale of Property/Assets 出售物業/資產 ☐ Others 其他: _____	

1 As a general rule, client is required to provide identity documents that is first mentioned in the table, save that where client does not hold such document, the next mentioned document should be provided and so forth. But in case client possesses any identity document(s) in this table which are also included in the supporting documents list as stated in para 1 on top session, first page of this Account Opening Form, client is required to provide all such identity documents and fill in relevant part of the table ,regardless their standing . 一般情況下，客戶需要提供該表格內首述的身分證明文件，除非客戶並無持有該文件，則應提供該表格所提述的下一份文件，如此類推。但假若客戶持有任何本表格內提及的身份證明文件，而該等文件同時屬本開戶申請表格中，第 1 頁頂部第 1 段所述的文件清單內，無論他們在本表格的排名如何，客戶需要提供所有此等身份證明文件並填寫本表格相關部分。

2 Client(s) must specify the number of annual revenue if their annual revenue are over $100,000,000. 客戶須註明其全年營業額數字如全年營業額超過$100,000,000。

3 Client(s) must specify the number of annual net profit if their annual net profit are over $100,000,000. 客戶須註明其全年淨利潤數字如其全年淨利潤超過$100,000,000。

4 Client(s) must specify the number of net assets if their net assets are over $500,000,000. 客戶須註明其淨資產數字如其淨資產超過$500,000,000。

5 Client(s) must specify the number of AUM if their AUM are over $500,000,000. 客戶須註明其資產管理規模數字如其資產管理規模超過$500,000,000

3 ANTICIPATED LEVEL AND NATURE OF ACTIVITY PER MONTH 預計每月交易次數及種類

Anticipated Investment Products 預計投資產品	Number of Transactions Per Month 每月交易次數	Amount of Transactions Per Month (HKD) 每月交易金額 (港元)	Anticipated Investment Products 預計投資產品	Number of Transactions Per Month 每月交易次數	Amount of Transactions Per Month (HKD) 每月交易金額 (港元)
Stocks 股票			Funds 基金		
Bonds 債券			Forex 外匯		
Futures & Options 期貨及期權			Structured Products 結構性產品		

4 KNOWLEDGE OF DERIVATIVES 衍生產品的認識

(Please tick ✓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

5	**DIRECTOR INFORMATION 董事資料** *(Please tick ✓appropriate box. 請在適當空格加✓)*	
	DIRECTOR 1 **董事 1**	
(1)	Name 姓名	
(2)	Date of Birth 出生日期	
(3)	☐ ID Card 身份證 ☐ Passport 護照	No.號碼:
(4)	Nationality 國籍	
	DIRECTOR 2 **董事 2**	
(1)	Name 姓名	
(2)	Date of Birth 出生日期	
(3)	☐ ID Card 身份證 ☐ Passport 護照	No.號碼:
(4)	Nationality 國籍	
	DIRECTOR 3 **董事 3**	
(1)	Name 姓名	
(2)	Date of Birth 出生日期	
(3)	☐ ID Card 身份證 ☐ Passport 護照	No.號碼:
(4)	Nationality 國籍	
	DIRECTOR 4 **董事 4**	
(1)	Name 姓名	
(2)	Date of Birth 出生日期	
(3)	☐ ID Card 身份證 ☐ Passport 護照	No.號碼:
(4)	Nationality 國籍	
	DIRECTOR 5 **董事 5**	
(1)	Name 姓名	
(2)	Date of Birth 出生日期	
(3)	☐ ID Card 身份證 ☐ Passport 護照	No.號碼:
(4)	Nationality 國籍	

6	**ULTIMATE BENEFICIAL OWNER IS LISTED COMPANY/LICENSED INSTITUTION/STATE OWNED ENTERPRISE (IF APPLICABLE)** **最終實益擁有人爲上市公司/持牌機構/國有企業（如適用）** *(Please tick ✓appropriate box. 請在適當空格加✓)*
1	Company Name 公司名稱：_____ ☐ State-owned Company 國有企業：Country 國家：_____ ☐ Listed Company 上市公司： Exchange 交易所/ Market 市場：_____ Country 國家：_____Stock Code 股票代號：_____ ☐ Licensed Institution 持牌機構： Name of Regulator 監管機構：_____ Country 國家：_____License No. 牌照號碼：_____ Shareholding 所佔股權 (%) _____
2	Company Name 公司名稱：_____ ☐ State-owned Company 國有企業：Country 國家：_____ ☐ Listed Company 上市公司： Exchange 交易所/ Market 市場：_____ Country 國家：_____Stock Code 股票代號：_____ ☐ Licensed Institution 持牌機構： Name of Regulator 監管機構：_____ Country 國家：_____License No. 牌照號碼：_____ Shareholding 所佔股權 (%) _____
3	Company Name 公司名稱：_____ ☐ State-owned Company 國有企業：Country 國家：_____ ☐ Listed Company 上市公司： Exchange 交易所/ Market 市場：_____ Country 國家：_____Stock Code 股票代號：_____ ☐ Licensed Institution 持牌機構： Name of Regulator 監管機構：_____ Country 國家：_____License No. 牌照號碼：_____ Shareholding 所佔股權 (%) _____
4	Company Name 公司名稱：_____ ☐ State-owned Company 國有企業：Country 國家：_____ ☐ Listed Company 上市公司： Exchange 交易所/ Market 市場：_____ Country 國家：_____Stock Code 股票代號：_____ ☐ Licensed Institution 持牌機構： Name of Regulator 監管機構：_____ Country 國家：_____License No. 牌照號碼：_____ Shareholding 所佔股權 (%) _____
5	Company Name 公司名稱：_____ ☐ State-owned Company 國有企業：Country 國家：_____ ☐ Listed Company 上市公司： Exchange 交易所/ Market 市場：_____ Country 國家：_____Stock Code 股票代號：_____ ☐ Licensed Institution 持牌機構： Name of Regulator 監管機構：_____ Country 國家：_____License No. 牌照號碼：_____ Shareholding 所佔股權 (%) _____

7 EXTRACT OF DECISIONS 決議摘錄

Extract of Decisions 決議摘錄

Extract of Resolutions of Board of Directors / Others* (please state): _____

of _____ ("Applicant").

_____ (「申請人」)之

董事會決議/ 其他* (請註明) _____

It was unanimously resolved by the applicant that:
申請人一致作出下列決議 / 決定：

1. One or more accounts ("Accounts") to be opened / hold / maintain and operate with Guotai Junan Securities (Hong Kong) Limited ("GTJAS") / Guotai Junan Futures (Hong Kong) Limited ("GTJAF") / Guotai Junan FX Limited ("GTJAFX")*
分別於國泰君安證券(香港)有限公司("GTJAS") / 國泰君安期貨(香港)有限公司 ("GTJAF") / 國泰君安外匯有限公司("GTJAFX")*開立/持有/維持及操作一個或多個賬戶。

2. The undersigned individuals are authorized to sign singly / jointly in any combination* on the Client Agreement for Securities Trading / Derivatives Trading / Foreign Exchange ("FX") and Bullion Trading* and Account Opening Form for and on behalf of the Applicant and to affix the Company chop where necessary;
以下授權人士個人 / 以任何形式共同* 簽署均可代表申請人在證券交易 / 衍生工具交易 / 外匯和貴金屬交易* 客戶協議書及開戶申請表格上簽名，必要時在表格上蓋章：

授權人 1 Authorised Representative 1			
Name (Chinese and English) 姓名 (中文及英文)	Name: _____ 姓名: _____	Date of Birth 出生日期	
☐ ID Card 身份證 ☐ Passport 護照	No.號碼:_____	Nationality 國籍	
Contact Tel. No. 聯絡電話號碼	(Country Code) (國家區號) ( )		
Specimen Signatures 簽名樣式			
授權人 2 Authorised Representative 2			
Name (Chinese and English) 姓名 (中文及英文)	Name: _____ 姓名: _____	Date of Birth 出生日期	
☐ ID Card 身份證 ☐ Passport 護照	No.號碼:_____	Nationality 國籍	
Contact Tel. No. 聯絡電話號碼	(Country Code) (國家區號) ( )		
Specimen Signatures 簽名樣式			
Specimen of Company Chop (if applicable) 公司印章樣式 (如適用)			

3. The undersigned individuals are authorized to give trading instructions, whether orally or in writing, on behalf of the Applicant in the Accounts; and the names, particulars and specimen signatures of the Authorised Trader (s) are listed below:

以下授權人士均代表申請人對賬戶以書面或口頭形式發出交易命令或指示，而授權人士之姓名、資料及簽名樣式如下：

授權交易員 1 Authorised Trader 1			
Name (Chinese and English) 姓名 (中文及英文)	Name: _____ 姓名: _____	Date of Birth 出生日期	
☐ ID Card 身份證 ☐ Passport 護照	No.號碼:_____	Nationality 國籍	
Contact Tel. No. 聯絡電話號碼	(Country Code) (國家區號) ( )	Email Address 電郵地址	
Specimen Signatures 簽名樣式			
授權交易員 2 Authorised Trader 2			
Name (Chinese and English) 姓名 (中文及英文)	Name : _____ 姓名: _____	Date of Birth 出生日期	
☐ ID Card 身份證 ☐ Passport 護照	No.號碼:_____	Nationality 國籍	
Contact Tel. No. 聯絡電話號碼	(Country Code) (國家區號) ( )	Email Address 電郵地址	
Specimen Signatures 簽名樣式			
授權交易員 3 Authorised Trader 3			
Name (Chinese and English) 姓名 (中文及英文)	Name : _____ 姓名: _____	Date of Birth 出生日期	
☐ ID Card 身份證 ☐ Passport 護照	No.號碼:_____	Nationality 國籍	
Contact Tel. No. 聯絡電話號碼	(Country Code) (國家區號) ( )	Email Address 電郵地址	
Specimen Signatures 簽名樣式			
授權交易員 4 Authorised Trader 4			
Name(Chinese and English) 姓名 (中文及英文)	Name : _____ 姓名: _____	Date of Birth 出生日期	
☐ ID Card 身份證 ☐ Passport 護照	No.號碼:_____	Nationality 國籍	
Contact Tel. No. 聯絡電話號碼	(Country Code) (國家區號) ( )	Email Address 電郵地址	
Specimen Signatures 簽名樣式			

4. The undersigned individuals, acting singly / jointly in any combination*, Authorized to deposit / withdraw fund / shares to / from the account, give settlement instructions and any other instructions relating to the Accounts; and The names, particulars and specimen signatures of the Authorized Signatories (s) are listed below:
以下授權人士 個人 / 以任何形式共同* 簽署均可代表申請人對賬戶進行資金/股票存儲/提取，發出清算指令和其他有關賬戶的指令，而授權人士之姓名、資料及簽名樣式如下：

授權簽署人 1 Authorized Signatories 1					
Name (Chinese and English) 姓名 (中文及英文)	Name : _____ 姓名: _____			Date of Birth 出生日期	
☐ ID Card 身份證 ☐ Passport 護照	No.號碼:_____			Nationality 國籍	
Contact Tel. No. 聯絡電話號碼	(Country Code) (國家區號) ( )	Email Address 電郵地址			
Specimen Signatures 簽名樣式					
授權簽署人 2 Authorized Signatories 2					
Name (Chinese and English) 姓名 (中文及英文)	Name : _____ 姓名: _____			Date of Birth 出生日期	
☐ ID Card 身份證 ☐ Passport 護照	No.號碼:_____			Nationality 國籍	
Contact Tel. No. 聯絡電話號碼	(Country Code) (國家區號) ( )	Email Address 電郵地址			
Specimen Signatures 簽名樣式					
授權簽署人 3 Authorized Signatories 3					
Name (Chinese and English) 姓名 (中文及英文)	Name : _____ 姓名: _____			Date of Birth 出生日期	
☐ ID Card 身份證 ☐ Passport 護照	No.號碼:_____			Nationality 國籍	
Contact Tel. No. 聯絡電話號碼	(Country Code) (國家區號) ( )	Email Address 電郵地址			
Specimen Signatures 簽名樣式					
授權簽署人 4 Authorized Signatories 4					
Name (Chinese and English) 姓名 (中文及英文)	Name : _____ 姓名: _____			Date of Birth 出生日期	
☐ ID Card 身份證 ☐ Passport 護照	No.號碼:_____			Nationality 國籍	
Contact Tel. No. 聯絡電話號碼	(Country Code) (國家區號) ( )	Email Address 電郵地址			
Specimen Signatures 簽名樣式					

5. This extract is recorded in accordance with the applicable laws and constitutions of the Applicant, and purported to be signed by the chairman/sole director of the meeting to evidence that (a) the meeting was duly held and convened; (b) all proceedings at the meeting were duly took place; and (c) all appointments at the meeting are valid.

本會議摘錄是按照相關法律及申請人之公司章程作紀錄，並將由該會議主席/唯一董事簽署予證實(a)該會議已妥爲舉行及召開；(b)該會議上的所有議事程序均已妥爲完成；及(c)所有在該會議上作出的委任均爲有效。

Signed by 簽署：

_____

Chairman / Sole Director*
由主席 / 唯一董事* 簽署

Name 姓名：_____

Date 日期：_____

(* Delete as appropriate 請刪去不適用者)

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8 PIN SETTING 私人密碼設定 *(Please tick ✓appropriate box. 請在適當空格加✓)*

For identification purpose, please provide a Personal Identification Number (PIN) *(For Trading By Telephone)* :
爲了方便在進行電話交易時確認身份，請提供一個私人密碼(PIN) :

☐ Securities 證券賬戶 / Securities & Stock Options 證券及股票期權賬戶 : _____

☐ Futures 期貨賬戶: _____

☐ FX 外匯賬戶: _____

9 OTHER DISCLOSURES 其他資料披露 *(Please tick ✓appropriate box. 請在適當空格加✓)*

Is member of your group company(ies) currently maintaining account(s) with the companies of Guotai Junan Group?
貴公司隸屬之集團及旗下公司成員有否在國泰君安集團的公司開設賬戶?
☐ No 沒有 ☐ Yes 有 (If yes, please specify 如有，請註明賬號: _____)

Is your company and its shareholder(s), in control of 35% or more of the issued shares of any corporate client of Guotai Junan Group?
貴公司及其股東是否控制任何國泰君安集團的公司客戶 35%或以上的股權?
☐ No 沒有 ☐ Yes 有 (If yes, please specify 如有，請註明賬號: _____)

Is your company or your shareholders and/or its authorized persons a Politically Exposed Person ("PEP"), a person connected with PEP, senior government official or senior executive of a state-owned corporation?*
貴公司、其股東及或授權人是否政治人物或與其有關連之人士、高級政府官員或國有企業高級行政人員?*

☐ No 不是 ☐ Yes 是，please specify 請述明具體:

Name of PEP 政治人物姓名	Relationship to PEP 貴公司與政治人物的關係	PEP Position and Term 政要職銜及擔任年期	Country 國家

* PEP includes but not limited to individuals with prominent public function or in senior positions in a place inside or outside Hong Kong (including head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and important political party official)
政治人物包括但不限於香港或香港以外任何地方擔任或曾擔任重要的公職 (包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)

Is your company executing a transaction on behalf of a trust?
貴公司是否代表信託基金執行交易？
☐ No 不是 ☐ Yes 是，please provide detailed particulars of the trust 請提供信託基金詳細資料：
(If yes, please provide a copy of the Trust Deed for verification 如是，請提供信託契約副本以供核實)

Name of Trust 信託基金名稱：	Date of Establishment/Settlement 訂立/委託日期：
Name of Settlor 委託人姓名：	Jurisdiction/Laws Governing the Trust 信託基金司法管轄區/管轄法律：
Identification Information of Settlor 委託人身份：	Name of Protector(s) or Enforcer(s) 保護人或執行人身份姓名：
Identification Information of Protector(s) or Enforcer(s) 保護人或執行人身份：	Name of Beneficiary(ies) 受益人姓名：
Identification Information of Beneficiary(ies) 受益人身份：	

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Is your company acting as nominee company for a third party(the ultimate beneficial owner ("UBO") of this Account / person ultimately benefiting from the transactions and bearing the risk/ person ultimately responsible for originating instructions for the account)?
貴公司是否作爲代理人公司替第三者(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)處理賬戶?
☐ No 不是 ☐ Yes 是

10 ULTIMATE BENEFICIAL OWNER/ PERSON ULTIMATELY BENEFITING FROM THE TRANSACTIONS AND BEARING THE RISKS/ PERSON ULTIMATLEY RESPONSIBLE FOR ORIGINATING INSTRUCTIONS FOR THE ACCOUNT
(FOR INDIVIDUAL ONLY) 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 (只適用於個人)
(PLEASE COPY THIS PAGE TO COMPLETE IF MORE THAN 1 PERSON AND SIGN ON THE SUPPLEMENTARY PAGE)
(如多於 1 人，請複印此頁填寫，並在附加頁上簽署)
(Please tick ✓appropriate box. 請在適當空格加✓)

☐ ULTIMATE BENEFICIAL OWNER 最終實益擁有人	☐ PERSON ULTIMATELY BENEFITING FROM THE TRANSACTIONS AND BEARING THE RISKS 最終受益於交易及承擔風險人士	☐ PERSON ULTIMATELY RESPONSIBLE FOR ORIGINATING INSTRUCTIONS FOR THE ACCOUNT 最終負責發出指示的人士

☐ 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:
	Former Name[1]: 前名 [1]:	Country of Birth: 出生國家:	Date of Birth: 出生日期:

ID Card No.: 身份證號碼:	Place of Issue of ID Card: 身份證發出地:
Passport No.: 護照號碼:	Place of Issue of Passport: 護照發出地:

Nationality(Please fill in more than one as appropriate): 國籍(可填寫多於一個):	Marital Status: ☐ Single 單身 ☐ Married 已婚 ☐ Divorced 離婚 ☐ Widowed 喪偶 婚姻狀況:
Residential Address: 住宅地址:	Country 國家:
(Country Code) Home Tel. No.: (國家區號) 住宅電話號碼: ( )	(Country Code) Mobile Phone No.: (國家區號) 手提電話號碼: ( )
E-mail Address: 電子郵件地址:	
Shareholding 所佔股權(%):	Control 所佔控制權(%):
Employment 就業情況: ☐ Employed 受僱 ☐ Self-employed 自僱 ☐ Retired 退休 ☐ Unemployed 無業 ☐ 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: 受僱/自僱機構名稱:	Present Position: 現時職位:
Office Address: 辦公室地址:	Country: 國家:
Country Code) Office Tel. No. (Optional): (國家區號) 辦公室電話號碼(可選填): ( )	(Country Code) Fax No. (Optional): (國家區號) 傳真機號碼(可選填): ( )
Company E-mail Address (Optional): 公司電子郵件地址(可選填):	

Annual Income (HKD): 全年收入(港元):	☐ <= $250,000	☐ $250,001-$500,000	☐ $500,001-$1,000,000
	☐ $1,000,001-$5,000,000	☐ $5,000,001-$10,000,000	
	☐ >$10,000,000, please specify[2] 須註明 [2]:		
Net Worth (HKD) [4]: 淨資產(港元) [4]:	☐ <=$500,000	☐ $500,001-$1,000,000	☐ $1,000,001-$5,000,000
	☐ $5,000,001-$10,000,000	☐ $10,000,001-$50,000,000	☐$50,000,001-$100,000,000
	☐ > $100,000,000, please specify[3] 須註明 [3]:		
Source of Wealth 財富來源	☐ Salary / Business Income 薪俸/營業收入	☐ Savings 儲蓄	
	☐ Sale of Investments 投資回報	☐ Inheritance / Gift 遺產/贈物*(Please fill Appendix B 請填附錄乙)*	
	☐ Retirement Funds 退休金	☐ Sale of Property / Assets 出售物業/資產	
	☐ Others 其他:_____		

1 Please provide copies of documents proving alternation of name. 請提供更改名稱證明文件複印本。
2 Client(s) must specify the number of annual income if their annual income are over $10,000,000. 客戶須註明其入息數字如其收入超過$10,000,000。
3 Client(s) must specify the number of net worth if their net worth are over $100,000,000. 客戶須註明其淨資產數字如其淨資產超過$100,000,000。
4 Net Worth = Total Assets (include Fixed Asses) minus Total Liabilities 淨資產 = 總資產(包括固定資產)減去總負債

国泰海通 GUOTAI HAITONG

11 SELF-CERTIFICATION DECLARATION OF RESIDENCE FOR TAX PURPOSE 稅務居民身份自我聲明

Entity Type 實體類別

Important Notice to Customer(s): Please read this section before completing this form.

客戶須知: 填寫此表格前，請先閱讀本節。

Financial institutions are not allowed to provide tax advice.
If you have any questions regarding this form or defining your tax residency status, please speak to your tax adviser or relevant tax authority. Please find out more on the OECD website (http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/), including a list of jurisdictions that have signed agreements to exchange information automatically, along with details about the information being requested.

金融機構均不允許給予客戶稅務諮詢。
如果您對此表格或您的稅務居民身份定義有任何疑問，請聯繫您的稅務顧問或相關稅務機關。您可以從經濟合作與發展組織(OECD)自動訊息交換網站獲取更多詳情，包括已簽署自動交換信息協議的司法管轄區的名單及被請求交換的有關信息。
(http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/)

You may be asked to provide additional documents to evidence the declaration made on this form.
您可能會被要求提供額外證明文件，以核實此表格上之內容。

I / We (on behalf of the entity) certify that the entity is 本人/吾等(代表本實體)聲明本實體是：

☐ Financial Institution 財務機構
Specify Type 選項類別:

☐ Investment Entity that is managed by another Financial Institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction. Note: This entity is reclassified as a Passive NFE ("Passive Non-Financial Entity")
– Please complete "Controlling Person" below
另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體
(註：此類實體被重新分類爲被動非財務實體-請填寫"控權人士")

☐ Other Financial Institution – Depository Institution, Custodial Institution, Specified Insurance Company, and Investment Entity not described above
其他金融機構 - 存款機構、託管機構、指明保險公司，及非上列之投資實體

☐ NFE ("Non-Financial Entity") 非財務實體
Specify Type 選項類別:

☐ NFE the stock of which is regularly traded on _____, which is an established securities market
該非財務實體的股票經常在 _____（一個具規模證券市場）進行買賣

☐ Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market.
_____ 的有關連實體，該有關連實體的股票經常在 _____（一個具規模證券市場）進行買賣

☐ NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities
政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體

☐ Active NFE other than the above Indicate Status: _____
其他主動非財務實體 詳細類別: _____

☐ Passive NFE (other than Investment Entity that is managed by another financial institution and located in a non-participating jurisdiction) - Please complete "Controlling Person" below
被動非財務實體 (位於非參與稅務管轄區並由另一財務機構管理的投資實體除外) - 請填寫"控權人士"

If a TIN is unavailable, please provide the appropriate reason A, B or C:
如未能提供稅務編號，請填寫理由 A, B 或 C.

Reason A 理由 A	The jurisdiction where the Account Holder is a resident for tax purposes does not issue TINs to its residents. 賬戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。
Reason B 理由 B	The Account Holder is unable to obtain a TIN or equivalent number. (Please explain why you are unable to obtain a TIN in the below table) 賬戶持有人不能取得稅務編號。(請在下表中解釋不能取得稅務編號的原因)
Reason C 理由 C	TIN is not required. Select this reason only if the authorities of the jurisdiction of tax residence do not require the TIN to be disclosed. 賬戶持有人毋須提供稅務編號。(這理由只適用於居留司法管轄區的主管機關不需要賬戶持有人披露稅務編號。)

Jurisdiction of Residence 稅務居民司法管轄地	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如未能提供稅務編號，請填寫理由 A, B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選擇理由 B，請提供不能取得稅務編號的原因

Controlling Person(s) 控權人士

To be completed by entity that is classified as a Passive NFE/NFFE (including an Investment Entity located in an AEOI Non-Participating Jurisdiction and managed by another Financial Institution that is reclassified as a Passive NFE).
此部分只供被分類為被動非財務(海外)實體填寫(包括被重新分類為被動非財務實體之位於非參與稅務管轄區並由另一財務機構管理的投資實體)。

For each Controlling Person, fill in ALL jurisdiction(s) and the associated TIN(s) where that Controlling Person is a tax resident (including U.S. and Hong Kong, where applicable). Please note that Controlling Person refer to natural person who meet specified requirements. If the entity has more than four Controlling Persons, please use an additional Self-Certification Form.
就每位控權人士而言，必須填寫持有稅籍之所有司法管轄地及有關稅籍編號（包括美國和香港，如適用）。請留意控權人士代表符合指定條件之自然人。如果有超過 4 位控權人士，請使用額外的自我聲明書。

If a TIN is unavailable, please provide the appropriate reason A, B or C:
如未能提供稅務編號，請填寫理由 A, B 或 C.

Reason A 理由 A	The jurisdiction where the Controlling Person is a resident for tax purposes does not issue TINs to its residents. 控權人士的居留司法稅務管轄區並沒有向其居民發出稅務編號。
Reason B 理由 B	The Controlling Person is unable to obtain a TIN or equivalent number. (Please explain why you are unable to obtain a TIN in the below table) 控權人士不能取得稅務編號。(請在下表中解釋不能取得稅務編號的原因)
Reason C 理由 C	TIN is not required. Select this reason only if the authorities of the jurisdiction of tax residence do not require the TIN to be disclosed. 控權人士毋須提供稅務編號。(這理由只適用於居留司法管轄區的主管機關不需要控權人士披露稅務編號。)

控權人士之姓名 Name of Controlling Person ("CP")		控權人士 稅務居民司法管轄地 All Jurisdiction(s) of Tax Residence	控權人士在該司法管轄地持有稅籍之稅籍編號， 如果不能提供稅務編號，請填寫理由 A, B 或 C TIN(s) for Each Jurisdiction of Tax Residence of CP or Provide Reason A, B or C if TIN is unavailable
控權 人士 1 **CP1**			

控權 人士 2 **CP2**			
控權 人士 3 **CP3**			
控權 人士 4 **CP4**			

在適當方格內加上✓號，指出控權人就實體所屬的控權人類別。
Please ✓ tick the appropriate box to indicate the type of controlling person for each controlling person.

實體類別 Type of Entity	控權人類別 Type of Controlling Person	控權 人士 1 **CP1**	控權 人士 2 **CP2**	控權 人士 3 **CP3**	控權 人士 4 **CP4**
法人 Legal Person	擁有控制股權的個人（就法團而言，個人擁有/控制超過 25%已發行股本；就合夥法團而言，個人控制超過 0%合夥權益） Individual who has a controlling ownership interest (i.e. for a corporation or partnership, more than 25% or 0% of issued share capital/profits respectively)				
	以其他途徑行使控制權或有權行使控制權的個人（就法團而言，個人控制超過 25%投票權；就合夥法團而言，個人控制超過0%投票權） Individual who exercises control / entitled to exercise control through other means (i.e. for a corporation or partnership, more than 25% or 0% of voting rights respectively)				
	擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人 Individual who holds the position of senior managing official / exercises ultimate control over the management of the entity				
信託 Trust	財產授予人 Settlor				
	受託人 Trustee				
	保護人 Protector				
	受益人或某類別受益人的成員 Beneficiary or member of the class of beneficiaries				
	其他（例如：如財產授予人/受託人/保護人/受益人為另一實體，對該實體行使控制權的個人） Others (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary)				
除信託以外的法律安排 Legal Arrangement other than Trust	處於相等/相類於財產授予人位置的個人 Individual in a position equivalent or similar to settlor				
	處於相等/相類於受託人位置的個人 Individual in a position equivalent or similar to trustee				

	處於相等/相類於保護人位置的個人 Individual in a position equivalent or similar to protector				
	處於相等/相類於受益人或某類別受益人的成員位置的個人 Individual in a position equivalent or similar to beneficiary or member of the class of beneficiaries				
	其他(例如：如處於相等/相類於財產授予人/受託人/保護人/受益人位置的人為另一實體，對該實體行使控制權的個人) Other (e.g. individual who exercises control over another entity being equivalent/similar to settler / trustee / protector / beneficiary)				

控權人士之居住地址 Residence Address of Controlling Person			
控權人士 1 **CP1**		(城市) (City)	(國家) (Country)
控權人士 2 **CP2**		(城市) (City)	(國家) (Country)
控權人士 3 **CP3**		(城市) (City)	(國家) (Country)
控權人士 4 **CP4**		(城市) (City)	(國家) (Country)

	控權人士之出生日期 (日/月/年) Date of Birth of Controlling Person (dd/mm/yyyy)	控權人士之出生地點 (城市以及國家) Place of Birth of Controlling Person (City & Country)	
控權人士 1 **CP1**		(城市) (City)	(國家) (Country)
控權人士 2 **CP2**		(城市) (City)	(國家) (Country)
控權人士 3 **CP3**		(城市) (City)	(國家) (Country)
控權人士 4 **CP4**		(城市) (City)	(國家) (Country)

Additional Disclosure (if applicable) 額外披露 (如適用)

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. $10,000).
警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第三級（即$10,000）罰款。

In the event of any inconsistency between the English and Chinese language text on this Self-Certification form, the English version will prevail and all information provided by you on this form will be treated as addressing the English text.
如此表格的中、英文兩個版本有任何不相符之處，應以英文版本為準，所有您在此聲明書提供的資料會被視為回應英文版本原文。

国泰海通 GUOTAI HAITONG

12 FATCA INFORMATION 海外賬戶稅收合規法案資料 *(Please tick ✓appropriate box. 請在適當空格加✓)*

1. Is your company a "Specified U.S. Person[1]" 貴公司是否"指定美國人士[1]"?
   ☐ NO 否 ☐ YES 是，please specify TIN 請提供稅務身份號碼 _____

2. Is your company a "Foreign Financial Institution (FFI)" 貴公司是否"海外金融機構"?
   ☐ NO 否 (Please answer 5 請回答 5) ☐ YES 是 (Please answer 3 請回答 3)

3. If 2 is "YES", please tick in the box 如 2 "是"，請在格內劃上剔號：
   ☐ Participating FFI 參與法案的海外金融機構
   ☐ Reporting Model 1 FFI 以版本一申報的海外金融機構
   ☐ Certified Deemed Compliant FFI 經認證被視作合規的海外金融機構
   ☐ Sponsored FFI that has not obtained a GIIN 不具 GIIN 之受贊助的海外金融機構
   ☐ Exempt Beneficial Owner 豁免實益擁有人
   ☐ Registered Deemed Compliant FFI 已註冊被視作合規的海外金融機構
   ☐ Reporting Model 2 FFI 以版本二申報的海外金融機構
   ☐ Owner-Documented FFI 已提供所有人資訊的海外金融機構
   ☐ Non-Participating FFI 不參與法案的海外金融機構
   ☐ Others 其他：_____

4. If you are a "Participating FFI", "Registered Deemed Compliant FFI", "Reporting Model 1 FFI" or "Reporting Model 2 FFI", please provide GIIN 如貴公司屬於"參與法案的海外金融機構"、"已註冊被視作合規的海外金融機構"、"以版本一申報的海外金融機構"或"以版本二申報的海外金融機構"，請提供全球中介人身份號碼：_____

5. If 2 is "No", please TICK 如 2 "否"，請在格內劃上剔號：
   ☐ Active Non-Financial Foreign Entity 實質營運的非金融海外實體
   ☐ Foreign government, government of a U.S. possession, or foreign central bank of issue 外國政府、美國屬地政府或外國發行之中央銀行
   ☐ Nonprofit organization 非營利機構
   ☐ Passive Non-Financial Foreign Entity (Please answer 6) 非實質營運的非金融海外實體 (請回答 6)
   ☐ Publicly traded NFFE or NFFE affiliate of a publicly traded corporation 公開上市的外國非金融機構及其相關企業
   ☐ International organization 國際組織

6. Does your company, being a "Passive Non-Financial Foreign Entity", have controlling person that is a US citizen or resident 如貴公司，屬於"非實質營運的非金融海外實體"，是否存在美國公民或居民控制人?
   ☐ NO 否 ☐ YES 是 (Please answer 7 請回答 7)

7. If 6 is "Yes", please provide the following details of the US controlling person:
   如 6 "是"，請提供以下該美國控制人的詳情：

   Name 姓名：_____ Taxpayer Identification No. (TIN) 稅務身份號碼：_____

   Address 地址：_____

   _____

We hereby confirm the information provided above is true, accurate and complete. We undertake to notify Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited and/or Guotai Junan FX Limited within 30 calendar days if there is a change in any information which we have provided.
吾等確認以上所提供的資料是真實、準確以及完整。吾等保證吾等提供的任何資料如有變更，吾等會於三十日內通知國泰君安證券(香港)有限公司、國泰君安期貨(香港)有限公司 及/或 國泰君安外匯有限公司。

1 The term "Specified U.S. Person" means a U.S. Person, other than: (i) a corporation the stock of which is regularly traded on one or more established securities markets; (ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i); (iii) the United States or any wholly owned agency or instrumentality thereof; (iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing; (v) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code; (vi) any bank as defined in section 581 of the U.S. Internal Revenue Code; (vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code; (viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64); (ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code; (x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code; (xi) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State; (xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or (xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

"指定美國人士"是指美國人士，但不包括：(i) 其股票在一個或多個認可的證券市場上經常交易的公司；(ii) 屬於《美國國內收入法》第 1471(e)(2)條定義的、與第(i)條所述公司屬於同一擴大關聯集團的任何公司；(iii) 美國或其任何全資機關或機構；(iv) 美國的任何州、任何美國領土、上述任何一個或多個州的任何政治分支或其任何全資機關或機構；(v) 根據《美國國內收入法》第 501(a)條免於徵稅的任何組織或《美國國內收入法》第 7701(a)(37)條定義的個人退休計畫；(vi) 《美國國內收入法》第 581 條定義的任何銀行；(vii) 《美國國內收入法》第 856 條定義的任何房地產投資信託； (viii) 屬於《美國國內收入法》第 851 條定義的任何受監管的投資公司，或根據《1940 年投資公司法》（15 U.S.C. 80a-64）向美國證券交易委員會登記的任何實體；(ix) 《美國國內收入法》第 584(a)條定義的任何共同信託基金； (x) 根據《美國國內收入法》第 664(c)條下獲豁免繳稅的任何信託，或《美國國內收入法》第 4947(a)(1)條所描述的任何信託；(xi) 根據美國或任何州的法律登記的證券、商品或衍生金融工具（包括名義本金合同、期貨、遠期合約和期權）的交易商；(xii)《美國國內收入法》第 6045(c)條所定義的經紀人；或 (xiii)《美國國內收入法》第 403(b)條或 457(g)條所述計畫下的任何獲豁免繳稅的信託。

The term "U.S. Person" means a U.S. citizen or resident individual, a partnership or corporation organized in the United States or under the laws of the United States or any State thereof, a trust if (i) a court within the United States would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust, and (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust, or an estate of a decedent that is a citizen or resident of the United States.

"美國人士"是指美國公民或居民的個人、在美國或根據美國或其任何州的法律組建的合夥企業或公司、信託(如(i)美國境內的法院 有權根據適用法律宣佈關於該信託的管理的絕大部分事宜的命令或判決；及(ii)一名或多名美國人士有權控制該信託的全部重大決定，或身爲美國公民或居民的死者的遺產）

13 REGISTERED BANK ACCOUNT INSTRUCTION 登記銀行賬戶指示

The following bank account(s), opened in our own name, shall be used for future deposits to and withdrawals from my/our account.
下列以吾等名義開立的銀行賬戶將用作吾等賬戶日後的存款及提款用途。

Notes 注意:

1. Account Scope: This registered bank account under this application will apply to all accounts with GTJA under the same corporate account holder.
   適用賬戶: 本申請下登記之銀行賬戶將適用於同一公司賬戶持有人名下於所有國泰君安賬戶。
2. Same-Name Account Requirement: The bank accounts to be registered must be held strictly in the exact same name as the corporate account holder on GTJA's record.
   同名銀行賬戶要求: 登記之銀行賬戶名稱必須與客戶於國泰君安登記之公司名稱完全一致。
3. Eligible Banks: Only bank accounts maintained with banks licensed in Hong Kong or supervised by banking regulators in SFC Eligible Jurisdictions are eligible for registration. The list of "Eligible Jurisdictions" can be accessed on the SFC's webpage under "Acceptable Account Opening Approaches" https://www.sfc.hk/en/Rules-and-standards/Account-opening/List-of-eligible-jurisdictions-for-remote-onboarding-of-overseas-individual-clients.
   合資格銀行: 只接受於香港持牌銀行或合資格司法管轄區受銀行業監管機構監管的銀行持有之銀行賬戶作登記。「合資格司法管轄區」名單可於證監會網頁「可接受的開立帳戶方式」項下查閱 https://www.sfc.hk/TC/Rules-and-standards/Account-opening/List-of-eligible-jurisdictions-for-remote-onboarding-of-overseas-individual-clients。
4. Bank Limit: Each client may register bank accounts with a maximum of three (3) banks. Multiple bank accounts maintained with the same bank will be treated as one registered bank.
   銀行數量限制: 每位客戶最多可登記三間銀行之銀行賬戶。於同一間銀行開設之多個銀行賬戶將被視爲一間已登記銀行。
5. Swift Code: SWIFT Code is not required for banks licensed in Hong Kong.
   銀行國際代碼: 香港持牌銀行機構無需提供銀行國際代碼。

Name of Bank 銀行名稱: _____

Bank Account No. 銀行賬戶號碼: _____ Currency 貨幣: _____

Bank Country / Region 銀行所在地區: _____ SWIFT Code 銀行國際代碼: _____

Supporting documents required 需提交之證明文件:

- Documentary proof of the bank account to be registered (e.g. bank statement showing the relevant name and account number). The bank account name must strictly match the client's registered account name on record. 登記之銀行賬戶證明文件(例如銀行結單需顯示姓名及銀行賬戶號碼)。銀行賬戶名稱必須與客戶於國泰君安登記之名稱完全一致。

We, the under-signed, hereby confirm that:

1. We declare that the information provided this bank account registration form and any supporting document(s) provided are true, complete and accurate;
2. We confirm that the above registered bank account is opened in our own name and we hold full beneficial ownership of the funds in the above Account;
3. The source of the funds or the purpose of the fund transfers do not involve terrorist financing activities, proceeds of drug trafficking or proceeds of organized and serious crimes;
4. We acknowledge and agree that your staff may at any time contact us over the phone to confirm the details of our request if there are any questions on its validity; and that your company is entitled to reject our request without any liabilities if we are unable to verify the relevant details satisfactorily.
5. This instruction shall remain in full force and effect until revoked, varied, or superseded by formal notice from us.

吾等，以下簽署者，謹此確認：

1. 吾等聲明本銀行帳戶登記表內之資料及所提供相關證明文件均爲真實、完整及正確；
2. 吾等確認上述登記之銀行賬戶乃以吾等名義開設，且吾等擁有上述賬戶內資金之全部實際受益權；
3. 資金來源/資金往來目的並不涉及爲恐怖分子集資活動、販毒得益或有組織及嚴重罪行的得益；
4. 吾等明白並同意如對指示有任何疑問，貴公司人員可隨時致電聯絡本人/吾等確認相關資料；如無法完成有效核實，貴公司有權拒絕處理該指示且不承擔任何責任。
5. 本指示將持續有效，直至吾等發出正式通知予以撤銷、修改或取代爲止。

14 DECLARATION 聲明 *(Please tick ✓appropriate box. 請在適當空格加✓)*

We hereby declare that the information given in this form is true and correct and that 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. We understand that our submission of this form and the acceptance of this form by you in no way imply approval for opening of the Account for us and that you reserve the right to reject our application.
吾等謹此聲明表格上提供之所有資料均為真實及正確，吾等並未刻意隱瞞任何重要事實。除上述提供的資料外，吾等清楚閣下會要求吾等提供更多相關的資料或證明文件。吾等明白吾等遞交此表格及閣下接納此表格並非表示閣下同意開立賬戶予吾等，並清楚閣下保留拒絕吾等開戶申請之權力。

(Applicable to PRC domestic investors) We undertake that the sources of our investment capital are legal and compliant with applicable laws. We declare that neither illegal nor non-compliant actions such as foreign exchange ("FX") evasion, illegal FX arbitrage, illegal FX transactions, evasion of limit control have ever been carried out, and no violation of provisions of the administration of foreign exchange under the State Council (and its branches) on FX management.
(適用於境內投資者)吾等承諾吾等投資資金來源合法合規，不存在逃匯、非法套匯、非法買賣外匯、逃避限額監管等違法違規行為，未違反國務院外匯管理部門及其分支機構對於外匯管理的規定。

We request you to open a Securities/ Stock Options / Derivatives/ Futures/ Leveraged Foreign Exchange and agree to abide by the rules and regulations of the Hong Kong Securities and Futures Commission ("HKSFC")/ the Hong Kong Exchanges and Clearing Limited ("HKEX")/ the Hong Kong Futures Exchange Limited ("HKFE") or any other regulatory body(ies) as amended from time to timegoverning of the above transactions.
吾等向閣下申請開立 證券/ 股票期權/ 衍生工具/ 期貨/ 槓桿式外匯 交易賬戶並同意遵守香港證券及期貨監察委員會/香港交易所/香港期貨交易所及其他監管機構不時修訂以監管進行上述交易之條例及規則。

Declaration regarding tax compliance (please tick all the boxes that apply) 有關稅務合規之聲明(請在所有適當的空格加√)

☐ 1. We hereby confirm and declare that, to the best of my knowledge, we have not committed or been convicted of tax crimes or tax evasion cases in any country/jurisdiction.
吾等在此確認並聲明就吾等所知所信，吾等未曾作出避稅或稅務罪行等行為，並未曾就有關罪行在任何國家/司法管轄區被定罪。

☐ 2. We hereby confirm and declare that we are currently under tax investigation or tax audit in the below country(ies)/ jurisdiction(s):
吾等在此確認並聲明，吾等目前正在以下國家/司法管轄區接受稅務調查或稅務審計:
Name(s) of country(ies)/jurisdiction(s): 國家/司法管轄區: _____

☐ 3. We hereby confirm and declare that we have committed or convicted of tax crimes or tax evasion cases in the below jurisdictions:
吾等在此確認並聲明，吾等曾作出避稅或稅務罪行等行為，或曾就有關罪行在任何國家/司法管轄區被定罪。
Name(s) of country(ies)/jurisdiction(s): 國家/司法管轄區: _____
Relevant Year(s) to which such tax crimes/evasion was committed/convicted:
稅務/逃稅犯罪/定罪年期: _____

☐ 4. We would like to provide additional information regarding our tax compliance:
吾等欲提供關於吾等的稅務合規的其他信息: _____

Automatic Exchange of Financial Account Information 有關自動交換金融賬戶信息協議之聲明

I / We (on behalf of the entity) declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人/吾等(代表本實體)在此聲明本人/吾等已查閱此自我聲明書之內容及陳述，並盡本人/吾等所知及確信，聲明內容均屬真實、正確及完整。

I / We (on behalf of the entity) acknowledge that the information contained in this form and information regarding the account holder, controlling person(s) (if any) and any reportable account(s) may be reported to any local or foreign governmental, regulatory or tax authorities or bodies (including but not limited to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region of the People's Republic of China and the U.S. Internal Revenue Service), and to any other local foreign persons or entities required or directed by applicable laws, regulations, practices or guidelines (including but not limited to the Hong Kong Inland Revenue Ordinance, any local implementation of the OECD Standard for Automatic Exchange of Financial Information in Tax Matters/Common Reporting Standard, the U.S. Foreign Account Tax Compliance Act (FATCA) and local implementation hereof, and any similar tax information sharing regime put in place in Hong Kong or any other relevant jurisdiction) or deemed necessary by Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited; and stored, used and disclosed by Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited so that it can comply with obligations, commitments, arrangement or market practices in relation to providing services to the entity.

本人/吾等(代表本實體)承認此聲明書及有關本實體、其控權人士(如有)及須申報賬戶的任何資料可向任何本地或海外政府、監管或稅務機關或機構(包括但不限於中華人民共和國香港特別行政區政府稅務局及美國國稅局)提供，以及向適用法例、法規、慣例或指引(包括但不限於香港稅務條例、任何在本地實施的 OECD「經濟合作與發展組織稅務金融訊息自動交換標準/通用報告準則」、美國《外國賬戶稅收合規法案》及在香港或任何其他相關司法管轄地已落實的同類稅務資訊共用制度）所規定或指示或國泰君安證券(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及/或國泰君安資產管理(亞洲)有限公司認爲必要的任何其他本地或海外人士或單位提供；及可由國泰君安證券(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及/或國泰君安資產管理(亞洲)有限公司存儲、使用及披露，以便其遵從有關向本人提供服務的義務、承諾、安排或市場慣例。

I / We (on behalf of the entity) declare that I / We have: (a) examined the information on this Self-Certification and the relevant IRS form(s) and any attachments to these forms, and to the best of my / our knowledge and belief they are true, correct and complete; and (b) duly notified as required by any applicable laws and regulations, and obtained all necessary consent and waiver from, all equity holders of the Entity and third parties whose information may (i) appear in this Self-Certification and any IRS form(s) and any attachments to these forms described in the preceding paragraph; and/or (ii) in any way be stored, used and disclosed by Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited pursuant to, or as contemplated in, this Self- Certification form and the relevant IRS form(s).

本人/吾等(代表本實體)在此聲明，本人/吾等已(a)查閱此自我聲明和相關美國稅務表格及其任何附件，並據本人/吾等所知及所信，該等資料真確無誤及完整；及（b）按照任何適用法律和法規的規定，向實體的所有股權持有人及第三方作出妥當通知，並已從前述人士獲得所有必要的同意和豁免，前述人士的資料可能(i)出現在此自我聲明書和前段所描述之任何稅務表格及其任何附件中；及/或(ii) 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及/或國泰君安資產管理(亞洲)有限公司根據此自我聲明書及相關美國稅務表格或其擬定原意，以任何方式予以存儲、使用及披露。

I / We (on behalf of the entity) undertake to advise Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited of any change in circumstances which affects the tax residency status of the entity identified or controlling person(s) identified (if any) of this form or cause the information contained herein to become incorrect, and to provide Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited with a suitably updated Self-Certification form within 30 calendar days of such change in circumstances.

本人/吾等(代表本實體)承諾如以上聲明有任何情況改變而影響實體或控權人士(如有)的稅務居民身份有任何變化或導致此自我聲明之內容及陳述變得不正確的信息時將通知國泰君安證券(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及/或國泰君安資產管理(亞洲)有限公司，並於情況改變發生的三十日內向國泰君安證券(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及/或國泰君安資產管理(亞洲)有限公司重新提供正確的聲明書。

I / We certify that I / We have the capacity to sign for the Entity identified on Page 1 and the controlling person(s) identified in Section 3 (if any) of this Self-Certification form.

本人/吾等聲明，本人有資格代表此自我聲明書首頁所標示之實體及第三部分所標示之控權人士(如有)簽署此自我聲明書。

Acknowledgement and Consent regarding Personal Information Collection Statement 確認明白及同意個人資料收集聲明
(please tick ✓the box where applicable 若適用請在空格加"✓")

☐ We acknowledge we have read, understand and agree with the content of the Personal Information Collection Statement of Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and Guotai Junan Assets (Asia) Limited (individually or collectively "**GTJA**"), which has been provided to us and is posted on GTJA's website (www.gtjai.com). We further agree to any revision or amendment that GTJA may from time to time make in respect of any content of the Personal Information Collection Statement by notice to us. Where personal data or information relating to any of our representatives (including directors, employees, agents, customers (direct or indirect) or affiliates) or any third party is provided to or held by GTJA in the course of our business dealings with GTJA, we undertake that we have obtained the consent of the relevant representatives/parties to enable GTJA to use, process, deal, share or transfer such data or information for the purposes set out in the Personal Information Collection Statement and we further undertake to promptly provide evidence of such consents to GTJA upon request from time to time. 吾等確認已閱讀、明白及同意國泰君安證券 （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及國泰君安資產管理（亞洲）有限公司（各稱或合稱「國泰君安」）之個人資料收集聲明之內容，該聲明已提供給吾等並在國泰君安的網站（www.gtjai.com）上發佈。吾等亦同意國泰君安可在通知吾等的情況下不時修改個人資料收集聲明之內容。如吾等在與國泰君安進行業務交往過程中向國泰君安提供或被國泰君安持有吾等任何代表（包括董事、雇員、代理、客戶（直接或間接）或關聯方）或任何第三方的個人資料或資訊，吾等承諾吾等已經獲得相關代表或第三方的同意，准許國泰君安按照個人資料收集聲明之目的使用、處理、處置、分享或轉移該等資料或資訊，吾等並且承諾在國泰君安提出要求時及時向國泰君安提供有關上述同意的證明。

☐ Where sensitive personal data or information relating to any of our representatives (including directors, employees, agents, customers (direct or indirect) or affiliates) or any third party is provided to or held by GTJA in the course of our business dealings with GTJA, we undertake that we have obtained the consent of the relevant representatives/parties to enable GTJA to use, process, deal, share or transfer such sensitive data or information for the purposes set out in the Personal Information Collection Statement and we further undertake to promptly provide evidence of such consents to GTJA upon request from time to time. 如吾等在與國泰君安進行業務交往過程中向國泰君安提供或被國泰君安持有吾等任何代表（包括董事、雇員、代理、客戶（直接或間接）或關聯方）或任何第三方的敏感個人資料或資訊，吾等承諾吾等已經獲得相關代表或第三方的同意，准許國泰君安按照個人資料收集聲明之目的使用、處理、處置、分享或轉移該等敏感資料或資訊，吾等並且承諾在國泰君安提出要求時及時向國泰君安提供有關上述同意的證明。

☐ Where personal data or information relating to any of our representatives (including directors, employees, agents, customers (direct or indirect) or affiliates) or any third party is provided to or held by GTJA in the course of our business dealings with GTJA, we undertake that we have obtained the consent of the relevant representatives/parties to enable GTJA to cross-border transfer such personal data for the purposes set out in the Personal Information Collection Statement and we further undertake to promptly provide evidence of such consents to GTJA upon request from time to time. 如吾等在與國泰君安進行業務交往過程中向國泰君安提供或被國泰君安持有吾等任何代表（包括董事、雇員、代理、客戶（直接或間接）或關聯方）或任何第三方的個人資料或資訊，吾等承諾吾等已經獲得相關代表或第三方的同意，准許國泰君安按照個人資料收集聲明之目的將該等資料或資訊跨境轉移，吾等並且承諾在國泰君安提出要求時及時向國泰君安提供有關上述同意的證明。

We have carefully read and understood the English or Chinese contents of the Client Agreement for
☐ Securities Trading ☐ Stock Options Trading (except US stock options trading)
☐ US Securities Trading (Segregated Account) Services ☐ Derivatives Trading
☐ Foreign Exchange ("FX") and Bullion Trading, including the Risk Disclosure Statement (each an "Agreement") and that the contents of each Agreement have been provided and fully explained to me/us in a language which I/we understand. I/We accept, as evidenced by my/our signature(s) below, all the terms of each Agreement and agree to be bound by each Agreement as amended or supplemented from time to time.

吾等已仔細審閱並理解
☐ 證券交易 ☐ 股票期權交易(美國股票期權交易除外) ☐ 美國證券交易(獨立賬戶)服務
☐ 衍生工具交易 ☐ 外匯和貴金屬交易 客戶協議書（包括風險披露聲明）（ "協議" ）的全部內容，且協議及其內容已以本人/吾等明白的語言(英文或中文)向本人/吾等提供及作出充分的解釋。本人/吾等接受協議的全部條款和細節，並同意接受協議（及其不時修訂及補充的條款和細節）之約束。

We acknowledge that we have been invited to ask questions about the content of the Client Agreement(s), commission and fees schedules, the Risk Disclosure Statement as well as the Disclosure on Best Execution and we are invited to take independent advice if we wish. We are satisfied with the explanation and clarification provided to us. We declare that we are willing and capable of fulfilling the duties and obligations as specified in each Client Agreement.
吾等確認吾等被邀請就客戶協議書之內容、佣金及於服務收費表、風險披露聲明，以最佳條件執行交易披露文件提出問題及如吾等有此意願徵求獨立的意見。
吾等滿意就相關問題的解釋和說明。吾等在此聲明吾等有能力並願意履行此協議規定的責任和義務。

国泰海通 GUOTAI HAITONG

SIGNED by Client 客戶簽署

Authorized Signatures(s) with Company Chop (if applicable)
客戶簽署及公司印章(如適用)

Name of Authorized signatory(ies) (Please print)
被授權簽署人姓名 (請書寫)

Date 日期

SIGNED by Witness 見證人簽署
I, the undersigned, have witnessed the signature and inspected the original identity documents of the above-named client(s).
本人已見證及驗證上述客戶之簽署及有關其身分證明文件之正本

Signature of Witness 見證人簽署

Full Name of Witness (Print) 見證人姓名(請以正楷書寫)

Witness' Qualification 見證人職位

Location of GTJA affiliates/overseas branches (if applicable)
國泰君安聯繫機構/海外代表處地區 (如適用)

Date 日期

Securities and/or Stock Options 證券及／或股票期權賬戶

SIGNED and DECLARED by Licensed Representative who has provided and explained to the Client the following client agreement(s) :
由持牌代表簽署並聲明已以客戶選擇的語言向客戶提供並解釋下列客戶協議書：

☐ Client Agreement for Securities Trading
證券交易客戶協議書

☐ Client Agreement for Stock Options Trading
股票期權交易客戶協議書

☐ Client Agreement for US Securities Trading (Segregated Account) Services
美國證券交易(獨立賬戶)服務客戶協議書

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

including the Risk Disclosure Statements of the respective client agreements and Disclosure on Best Execution in the language of the Client's choice; and has invited Client to read the Risk Disclosure Statements of the respective client agreements and Disclosure on Best Execution, to ask questions and to take independent advice if Client wish.

包括有關上述客戶協議書中各自的風險披露聲明及以最佳條件執行交易披露文件，並邀請客戶仔細審閱和如客戶有此意願就該等客戶協議書中各自的風險披露聲明及以最佳條件執行交易披露文件提出問題及徵求獨立的意見。

Signature of Licensed Representative 持牌代表簽署

Full Name of Licensed Representative (Print) 持牌代表姓名(請以正楷書寫)

CE Number of Licensed Representative 持牌代表中央編號

Date 日期

Futures 期貨賬戶

SIGNED and DECLARED by Licensed Representative who has explained and provided to the **CLIENT AGREEMENT FOR DERIVATIVES TRADING** including the Risk Disclosure Statements and Disclosure on Best Execution in the language of the Client's choice; and has invited Client to read the Risk Disclosure Statements and Disclosure on Best Execution, to ask questions and to take independent advice if Client wish.
由持牌代表簽署並聲明已以客戶選擇的語言向客戶提供並解釋此 **衍生工具交易客戶協議書**，包括其中有關風險披露聲明及以最佳條件執行交易披露文件，並邀請客戶仔細審閱和如客戶有此意願就該風險披露聲明及以最佳條件執行交易披露文件提出問題及徵求獨立的意見。

Signature of Licensed Representative 持牌代表簽署

Full Name of Licensed Representative (Print) 持牌代表姓名(請以正楷書寫)

CE Number of Licensed Representative 持牌代表中央編號

Date 日期

FX 外匯賬戶

SIGNED and DECLARED by Licensed Representative who has provided and explained to the **CLIENT AGREEMENT FOR FOREIGN EXCHANGE ("FX") AND BULLION TRADING** including the Risk Disclosure Statement and Disclosure on Best Execution in the language of Client's choice; and has invited Client to read the Risk Disclosure Statement and Disclosure on Best Execution, to ask questions and take independent advice if Client wish.
由持牌代表簽署並聲明已以客戶選擇的語言向客戶提供並解釋此 **外匯和貴金屬交易客戶協議** 包括其中有關風險披露聲明及以最佳條件執行交易披露文件，並邀請客戶仔細審閱和如客戶有此意願就該風險披露聲明及以最佳條件執行交易披露文件提出問題及徵求獨立的意見。

Signature of Licensed Representative 持牌代表簽署

Full Name of Licensed Representative (Print) 持牌代表姓名(請以正楷書寫)

CE Number of Licensed Representative 持牌代表中央編號

Date 日期

SIGNED and DECLARED by Account Executive 客戶主任簽署及聲明

I hereby confirm that I have carried out the necessary Customer Due Diligence ("CDD") and Know Your Client ("KYC") procedures according to the Anti Money Laundering Manual, Customer Due Diligence Manual and Client Identity Rule Policy Manual of GTJA Group for the above client(s).
本人確認已根據我司的反洗錢手冊、客戶盡職審查手冊及客戶身分規則的政策，對上述客戶貫徹執行必需的客戶盡職審查及認識你的客戶程序。

(1) I have known the Client for 認識客戶年期： ☐ <1 Year 少於一年 ☐ 1 to 5 Years 一至五年 ☐ >5 Years 多於五年

(2) Mode of Introduction 介紹模式： ☐ Walk-in 客戶自薦 ☐ Client Referral 由其他客戶引薦 (Client No.推薦人賬號：_____)

☐ Others 其他：_____

_____
Signature of Account Executive 客戶主任簽署

_____
Full Name of Account Executive (Print) 客戶主任姓名(請以正楷書寫)

_____
CE Number of Account Executive 客戶主任中央編號

_____
Date 日期

国泰海通 GUOTAI HAITONG

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 ***[Please note: This option is not applicable to individuals. 請注意：此選項不適用於個人。]***
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) 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	☐ Securities 證券
☐ Properties 物業	☐ Others 其他：_____

Value(HKD):
價值(港元):