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 (INDIVIDUAL/JOINT ACCOUNT) 開戶申請表格(個人/聯名賬戶)

Please provide for both Primary Client and Joint Client:
1. Certified true copy of your valid identity card and/or passport[1]
2. A statement within the past 1 year as proof of residential address
3. Client Risk Profiling Questionnaire - Investment Products (for Individual/Joint Account)
4. Standing Authority (Applicable for Futures/FX account opening)

請提供個人客戶及聯名客戶之:
1. 賬戶持有人的有效身份證及/或護照的經簽名驗證複印本[1]
2. 最近 1 年的結單作住址證明
3. 投資產品 – 風險承受能力問卷(個人/聯名客戶適用)
4. 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✓)*

☐ Individual 個人賬戶 ☐ Joint Account 聯名賬戶

☐ **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

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保證金賬戶(孖展賬戶)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保證金賬戶(孖展賬戶)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

☐ **跨境理財通 – 南向通服務（僅適用現金賬戶）**

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

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

☐ **FX 外匯賬戶**

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 請同時提供證券保證金交易協議書
(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

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2 PERSONAL INFORMATION 個人資料 *(Please tick ✓appropriate box. 請在適當空格加✓)*

Primary Client 客戶

☐ 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[2]: 前名[2]:	Country of Birth: 出生國家:	Nationality (Please fill in more than one as appropriate): 國籍 (可填寫多於一個):
	Date of Birth: 出生日期:	Marital Status: ☐ Single 單身 ☐ Married 已婚 婚姻狀況: ☐ Divorced 離婚 ☐ Widowed 喪偶

Please provide relevant identity document and fill in details in following (1),(2),(3) descending order of priority[3].
請依照下列的優先排序依次(1),(2),(3)提供相關身份證明文件，並填寫信息[3]。
Please put "N/A" if not applicable.
如不適用請填上 "N/A"。

(1)	HKID Card No.: 香港身份證號碼:	(2)	National ID Card No.: 國家身份證號碼:	(3)	Passport No.: 護照號碼:
			Place of Issue of National ID Card: 國民身份證發出地:		Place of Issue of Passport: 護照發出地:

Residential Address: 住宅地址:	Country 國家:
Correspondence Address : 通訊地址：	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: ( )

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: ( )_____

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 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)

Education 教育程度:	☐ Primary or below 小學或以下	☐ Secondary or post-secondary 中學或專上學院	☐ Graduate or above (not related to Economics / Finance / Accounting) 大學或以上 (非跟經濟/金融/會計相關)	☐ Graduate or above (related to Economics / Finance / Accounting) 大學或以上 (跟經濟/金融/會計相關)

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 of Primary Client: 客戶受僱/自僱機構名稱:	Present Position[4]: 現時職位[4]:
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):
公司電郵地址(可選填):

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Annual Income (HKD): 全年收入(港元):	☐ <= $250,000 ☐ $1,000,001-$5,000,000 ☐ >$10,000,000, please specify[5] 須註明 [5]:	☐ $250,001-$500,000 ☐ $5,000,001-$10,000,000
Net Worth (HKD) [6]: 淨資產 (港元) [6]:	☐ <= $500,000 ☐ $5,000,001-$10,000,000 ☐ > $100,000,000, please specify[7] 須註明 [7]:	☐ $500,001-$1,000,000 ☐ $10,000,001-$50,000,000
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

1 For client who is neither a HK permanent resident nor citizen of People's Republic of China, please provide a certified true copy of BOTH National ID Card (if applicable) and passport for non-permanent HK resident. 客戶如不屬香港永久性居民或中華人民共和國公民，請同時提交其國民身份證(如適用)及旅遊證件的經簽名驗證複印本。
2 Please provide copies of documents proving alternation of name. 請提供更改名稱證明文件複印本。
3 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. Please also refer to footnote 1, provide relevant identity documents as required and fill in relevant part of the table. 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。請同時參閱註腳 1，提供要求的相關身分證明文件，並填寫本表格相關部分。
4 Please provide business card and complete the field accordingly (if available). 請提供名片，並填寫列印在名片上的職位(如有)。
5 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。
6 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
7 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。

Joint Client 聯名客戶

☐ 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[2]: 前名 [2]:	Country of Birth: 出生國家:	Nationality (Please fill in more than one as appropriate): 國籍 (可填寫多於一個):
	Date of Birth: 出生日期:	Marital Status: ☐ Single 單身 ☐ Married 已婚 ☐ Divorced 離婚 ☐ Widowed 喪偶 婚姻狀況:

Please provide relevant identity document and fill in details in following (1),(2),(3) descending order of priority[3].
請依照下列的優先排序依次(1),(2),(3)提供相關身份證明文件，並填寫信息 [3]。
Please put "N/A" if not applicable.
如不適用請填上 "N/A"。

(1)	HKID Card No.: 香港身份證號碼:	(2)	National ID Card No.: 國民身份證號碼:	(3)	Passport No.: 護照號碼:
			Place of Issue of National ID Card: 國民身份證發出地:		Place of Issue of Passport: 護照發出地:

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: 電郵地址:	

Education 教育程度:	☐ Primary or below 小學或以下	☐ Secondary or post-secondary 中學或專上學院	☐ Graduate or above (not related to Economics / Finance / Accounting) 大學或以上 (非跟經濟/金融/會計相關)	☐ Graduate or above (related to Economics / Finance / Accounting) 大學或以上 (跟經濟/金融/會計相關)
Employment 就業情況:	☐ Employed 受僱 ☐ Unemployed 無業	☐ Self-employed 自僱 ☐ Housewife 家庭主婦	☐ Retired 退休 ☐ 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 of Joint Client: 聯名客戶受僱/自僱機構名稱:	Present Position[4]: 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): 公司電郵地址(可選填):	
Relationship between Primary Client and Joint Client: 客戶與聯名客戶的關係：	
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[5] 須註明 [5]:
Net Worth (HKD)[6]: 淨資產(港元) [6]:	☐ <= $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[7] 須註明 [7]:
Source of Funds 資金來源	☐ Salary / Business Income 薪俸/營業收入 ☐ Pension 退休金 ☐ Return on Investments 投資回報 ☐ Others 其他: _____
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:_____

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

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

Are you the employee of a SFC's licensed or registered person?
您是否證監會持牌或註冊人的僱員?
☐ No 不是 ☐ Yes 是 - Please provide Employer's Consent Letter and specify 請提供僱主同意書及述明具體：

Name of Licensed Corporation/Registered Institution 持牌法團或註冊機構名稱：_____

CE Reference 中央編號：_____

Are you a senior management or director of any listed company whose shares are traded on any exchange or market?
您是在任何交易所或市場上交易股票的任何上市公司的高級管理人員或董事嗎？如果是，請說明公司名稱和股票代碼

☐ No 不是 ☐ Yes 是 – Please specify the company name(s) and stock code(s) 請說明公司名稱和股票代碼

Company Name(s) 公司名稱 :_____

Stock Code(s)股票代碼 :_____

Are you or your relatives currently employed by the companies of Guotai Junan Group?
您或親屬是否現受僱於國泰君安集團的公司?
☐ No 沒有 ☐ Yes 有 (If yes, please specify Name & Relationship 如有，請述明姓名及關係:_____)

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: _____)

Have you been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements?
您是否曾經涉及違法或違反監管守則而被捕/受審/被判刑/被紀律處分?
☐ No 不是 ☐ Yes 是 (If yes, please specify 如果是, 請述明具體: _____

Are you or your immediate family members Politically Exposed Person ("PEP"), a person connected with PEP, senior government official or senior executive of a state-owned corporation?*
您或您的直系親屬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 (If yes, please specify 如果是, 請述明具體:

Name of PEP 政治人物姓名	Relationship to PEP 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)

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?
☐ Yes 是 ☐ No 不是 (If no, please complete Section 6. 如果不是, 請填寫 6)

Are you the person ultimately responsible for originating instructions for the account?
您是否向戶口最終負責發出指示的人士?
☐ Yes 是 ☐ No 不是 (If no, please complete Section 6. 如果不是, 請填寫 6)

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6 ULTIMATE BENEFICIAL OWNER/ PERSON ULTIMATELY BENEFITING FROM THE TRANSACTIONS AND BEARING THE RISKS/ PERSON ULTIMATLEY RESPONSIBLE FOR ORIGINATING INSTRUCTIONS FOR THE ACCOUNT (PLEASE COPY THIS PAGE TO COMPLETE IF MORE THAN 1 PERSON AND SIGN ON THE SUPPLEMENTARY PATE)
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（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[2]: 前名 [2]:	Country of Birth: 出生國家:	Date of Birth: 出生日期:

ID Card No.: 身份證號碼:	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: 婚姻狀況:	☐ Single 單身 ☐ Married 已婚 ☐ Divorced 離婚 ☐ Widowed 喪偶

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:
電郵地址:

Education 教育程度: ☐ Primary or below 小學或以下 ☐ Secondary or post-secondary 中學或專上學院 ☐ Graduate or above (not related to Economics / Finance / Accounting) 大學或以上（非跟經濟/金融/會計相關) ☐ Graduate or above (related to Economics / Finance / Accounting) 大學或以上（跟經濟/金融/會計相關)

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[4]: 現時職位 [4]:
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):
公司電郵地址(可選填):

Relationship between Account Holder and UBO / person ultimately benefiting from the transactions and bearing the risk / person ultimately responsible for originating instructions for the account :
客戶與最終實益擁有人之關係/客戶與最終受益於交易及承擔風險人士之關係/客戶與最終負責發出指示的人士之關係:_____

Net Worth (HKD) [6]: 淨資產(港元) [6]:
☐ <= $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[7] 須註明 [7]: ☐

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:_____

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7 SELF –CERTIFICATION DECLARATION OF RESIDENCE FOR TAX PURPOSE 稅務居民身份聲明

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/)

Please note that where there are joint account holders or with third party under Section 6，each account holder and third party is required to complete a separate Self-Certification form.
請注意:如果客戶為聯名賬戶或第六項爲第三者，各聯名賬戶持有人及第三者必須各自填寫一份自我聲明書。

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 hereby confirm that I am, for tax purposes, resident in the following countries.
本人聲明本人為下列司法管轄區之稅務居民。

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。)

Primary Client 客戶

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

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).

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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，應以英文版本爲準，所有您在此聲明書提供的資料會被視爲回應英文版本原文。

8 DECLARATION OF FATCA INFORMATION 海外賬戶稅收合規法案聲明 *(Please tick ✓appropriate box. 請在適當空格加✓)*

Please note that where there are joint account holders or with third party under Section 6, each account holder and third party is required to complete a separate declaration form.
請注意:如果客戶為聯名賬戶或第六項為第三者，各聯名賬戶持有人及第三者必須各自填寫一份聲明書。

1. Are you a "U.S. Citizen" 您是否"美國公民"？
   ☐ NO 否 ☐ YES 是，please specify TIN 請提供稅務身份號碼 _____
2. Are you a "U.S. Resident" 您是否"美國居民"？
   ☐ NO 否 ☐ YES 是，please specify TIN 請提供稅務身份號碼 _____
3. Do you hold a "U.S. Permanent Resident Card (Green Card)" 你是否持有"美國永久居民身份證(綠卡)"？
   ☐ NO 否 ☐ YES 是，please specify TIN 請提供稅務身份號碼 _____

I hereby confirm the information provided above is true, accurate and complete. I 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 I have provided.
本人確認以上所提供的資料是真實、準確以及完整。本人保證本人提供的任何資料如有變更，本人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。

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

The following bank account(s), opened in my/our own name, shall be used for future deposits to and withdrawals from my/our account.
下列以本人/吾等名義開立的銀行賬戶將用作本人/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 account holder.
   適用賬戶: 本申請下登記之銀行賬戶將適用於同一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 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 (1) 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: _____

Documents to be provide 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。

I/We, the under-signed, hereby confirm that:

1. I/ We declare the information in this bank account registration form and any supporting document(s) provided are true, complete and accurate;
2. I/We confirm that the above registered bank account is opened in my/our own name and I/we hold full beneficial ownership of the funds in the above account;
3. The source of the fund 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. I/We acknowledge and agree that your staff may at any time contact me/us over the phone to confirm the details of my/our request if there are any questions on its validity; and that your company is entitled to reject my/our request without any liabilities if I/we am/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 me/us.

本人/吾等，以下簽署者，謹此確認：

1. 本人/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. 本人/吾等確認上述登記之銀行賬戶乃以本人/吾等名義開設，且本人/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. 本人/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，直至本人/吾等發出正式通知予以撤銷、修改或取代爲止。

10 SIGNING ARRANGEMENT 簽名安排 *(For Joint Account Only. 只適用於聯名賬戶)*

The Account can be operated under the instruction of (Please tick ✓ one item only):
此賬戶可根據以下指示方式操作 **(請只勾選✓一項)**:

Either one of the account holder; or 任何一位賬戶持有人的指示 ☐	Both account holders 兩位賬戶持有人的指示 ☐

11 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: _____

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12 PERSONAL DATA 個人資料 *(Please tick ✓appropriate box. 請在適當空格加✓)*

Acknowledgement and Consent 確認明白及同意

I/We acknowledge I/we have read and understand 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 "GTJAI"), which has been provided to me/us and is posted on GTJAI's website (www.gtjai.com). By ticking the box below, I/we signify my/our consent for GTJAI to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement. I/We further agree to any revision or amendment that GTJAI may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us. 本人/吾等確認已閱讀及明白國泰君安證券（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「國泰君安國際」）之個人資料收集聲明之內容，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）上發佈。在下列方格加上剔號，表示本人/吾等同意國泰君安國際按照個人資料收集聲明之條款及目的使用本人/吾等的個人資料。本人/吾等亦同意國泰君安國際可在通知本人/吾等的情況下不時修改個人資料收集聲明之內容。

☐ I/We agree to GTJAI's use of my/our personal data for the purposes set out in the Personal Information Collection Statement. I/We further agree to any revision or amendment that GTJAI may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us. 本人/吾等同意國泰君安國際按照個人資料收集聲明之目的使用本人/吾等的個人資料。本人/吾等亦同意國泰君安國際可在通知本人/吾等的情況下不時修改個人資料收集聲明之內容。

☐ I/We agree to GTJAI's use of my/our sensitive personal data for the purposes set out in the Personal Information Collection Statement. I/We further agree to any revision or amendment that GTJAI may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us. 本人/吾等同意國泰君安國際按照個人資料收集聲明之目的使用本人/吾等的敏感個人資料。本人/吾等亦同意國泰君安國際可在通知本人/吾等的情況下不時修改個人資料收集聲明之內容。

☐ I/We agree to GTJAI's cross-border transfer of my/our personal data for the purposes set out in the Personal Information Collection Statement. I/We further agree to any revision or amendment that GTJAI may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us. 本人/吾等同意國泰君安國際按照個人資料收集聲明之目的將本人/吾等個人資料跨境轉移。本人/吾等亦同意國泰君安國際可在通知本人/吾等的情況下不時修改個人資料收集聲明之內容。

Direct Marketing 直接促銷

I/We confirm my/our consent as referred to in the sections entitled Use of Personal Data in Direct Marketing and Provision of Personal Data for Use in Direct Marketing of the Personal Information Collection Statement, subject to any objection as indicated by me/us below: 除本人/吾等如下所示提出之任何反對外，本人/吾等確認同意個人資料收集聲明內以個人資料在直接促銷中的使用及提供個人資料作直接促銷爲標題之內容:

☐ I/We object to GTJAI using my/our personal data in direct marketing as referred to in the section entitled Use of Personal Data in Direct Marketing of the Personal Information Collection Statement. 本人/吾等反對國泰君安國際按個人資料收集聲明內以個人資料在直接促銷中的使用爲標題的分段所述，將本人/吾等之個人資料作直接促銷用途。

☐ I/We object to GTJAI providing my/our personal data to GTJA Group (other than GTJAI) for use in direct marketing as referred to in the section entitled Provision of Personal Data for Use in Direct Marketing of the Personal Information Collection Statement. 本人/吾等反對國泰君安國際按個人資料收集聲明內以提供個人資料作直接促銷爲標題的分段所述，向國泰君安集團(不包括國泰君安國際本公司)提供本人/吾等之個人資料作直接促銷用途。

The above represents my/our present choice of whether or not to receive direct marketing contact or information. This shall replace any choice I/we may have given to GTJAI previously.

以上乃本人/吾等對是否收取直接促銷之聯系或資料之選擇。這會取代本人/吾等過往作出之選擇。

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

I/We hereby declare that I/we am/are the only party who has the ultimate interests in the Account and the information given in this form is true and correct and that I/we have not willfully withheld any material fact(s). I/We understand that I/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. I/We understand that my/our submission of this form and the acceptance of this form by you in no way implies approval for opening of the Account for me/us and that you reserve the right to reject my/our application.

本人/吾等謹此聲明本人/吾等爲賬戶的最終實益擁有人，表格上提供之所有資料均爲真實及正確，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/吾等清楚閣下會要求本人/吾等提供更多相關的資料或證明文件。本人/吾等明白本人/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本人/吾等，並清楚閣下保留拒絕本人/吾等開戶申請之權力。

I/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 time governing of the above transactions.

本人/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。

(Applicable to PRC domestic investors) I/We undertake that the sources of my/our investment capital are legal and compliant with applicable laws. I/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) 本人/吾等承諾本人/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爲，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。

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

☐ 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）上發佈。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／或護照作爲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。

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

☐ 2. I/We hereby confirm and declare that I/we am/are currently under tax investigation or tax audit in the below country(ies)/ jurisdiction(s):
本人/吾等在此確認並聲明，本人/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. I/We hereby confirm and declare that I/we have committed or convicted of tax crimes or tax evasion cases in the below jurisdictions:
本人/吾等在此確認並聲明，本人/吾等曾作出避稅或稅務罪行等行爲，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. I/We would like to provide additional information regarding my/our tax compliance:
本人/吾等欲提供關於本人/吾等的稅務合規的其他信息: _____

Declaration for 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 acknowledge that the information contained in this form and information regarding the account holder 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 me.

本人/吾等明白既承認此聲明書及有關本人及須申報賬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 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 on any change in circumstances which affects the tax residency status of the individual identified 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/吾等承諾如以上聲明有任何情況改變，而影響識別個人的稅務收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自我聲明書。

I/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.

本人/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 ☐ 南向通服務條款及細則 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。

(僅適用於開通跨境理財通 - 南向通服務:) 本人知曉與「南向通」服務有關的風險(包括南向通服務條款及細則所載的所有風險披露聲明)，並願意承擔該等風險。本人已閱讀並清楚明白南向通服務條款及細則所載有關跨境理財通下的規定，包括內地夥伴證券公司及本公司分別的角色及責任、資金閉環和跨境匯劃要求、查詢及投訴處理機制、南向通投資專戶之使用、投資者責任、所涉及的風險、向相關監管機構披露的訊息，以及發現投資者有違規情況時的處理等。

I/We acknowledge that I/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 I/we am/are invited to take independent advice if I/we wish. I/We am/are satisfied with the explanation and clarification provided to me/us. I/We declare that I/we am/are willing and capable of fulfilling the duties and obligations as specified in each Client Agreement.
本人/吾等確認本人/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本人/吾等有此意願徵求獨立的意見。本人/吾等滿意就相關問題的解釋和說明。本人/吾等在此聲明本人/吾等有能力並願意履行此協議規定的責任和義務。

14 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 DURING THE ACCOUNT OPENING PROCESS. 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，在開戶過程中提交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。

国泰海通 GUOTAI HAITONG

SIGNED by Client 客戶簽署

▶

_____
Primary Client Signature 客戶簽名

_____
Primary Client Name (Print) 客戶姓名 (請書寫)

_____
Date 日期

SIGNED by Joint Client 聯名客戶簽署

▶

_____
Joint Client Signature 聯名客戶簽名

_____
Joint Client Name (Print) 聯名客戶姓名 (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
- ☐ 南向通服務條款及細則

(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[1]~~
25. Personal Service Activities (e.g. Laundry and Dry-cleaning Services, Beauty and Body Prettifying Treatment, Massage Services etc.)	26. Postal and Courier Activities 郵政及速遞活動	27. Public Services 公共服務

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

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）		
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):