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

Update of Client's Information (Corporate)
客戶資料更新表格 (公司賬戶)

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

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

Account Name 賬戶名稱	
Account Number 賬戶號碼	

1. Please fill out those sections of the form which your company has not provided before or if the relevant information which you previously provided to us has changed, that you have to inform us of the change(s). Also we shall assume there is no change of your relevant information which your company have not provided in the form.
如貴公司從未向本公司就此表格相關部份提供資料或有關資料已更改而需要通知本公司，請填妥此表格相關部份。
另外，如在表格上並未有提供資料，貴公司的現有有關資料會被視為並無更改。
2. Please note update of customer profile information will be applied to all of your accounts maintained with Guotai Junan Group.
請注意，客戶資料之更改將適用於閣下於國泰君安集團開立之所有賬戶。

(I) CHANGE OF CUSTOMER PROFILE INFORMATION 更改客戶資料

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

☐ Change of Company Name 更改公司名稱	
New Company Name 新公司名稱	

請提供經簽名驗證的更改公司名稱通知書複印本 Please provide the certified true copy of Notice of Change of Company Name or similar.

☐ Change of Director 董事變更# (Please copy this page to complete if more than 4 persons and sign on the supplementary page 如多於4人，請複印此頁填寫，並在附加頁上簽署)

董事 1 DIRECTOR 1			董事 2 DIRECTOR 2		
(1)	Name 姓名		(1)	Name 姓名	
(2)	Date of Birth 出生日期		(2)	Date of Birth 出生日期	
(3)	☐ ID Card 身份證 ☐ Passport 護照	No.號碼:	(3)	☐ ID Card 身份證 ☐ Passport 護照	No.號碼:
(4)	Nationality 國籍		(4)	Nationality 國籍	
董事 3 DIRECTOR 3			**董事 4 DIRECTOR 4**		
(1)	Name 姓名		(1)	Name 姓名	
(2)	Date of Birth 出生日期		(2)	Date of Birth 出生日期	
(3)	☐ ID Card 身份證 ☐ Passport 護照	No.號碼:	(3)	☐ ID Card 身份證 ☐ Passport 護照	No.號碼:
(4)	Nationality 國籍		(4)	Nationality 國籍	

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☐ **Change of Shareholder / Ultimate Beneficial Owner# 股東/最終實益擁有人變更#**

Please complete below information for Ultimate Beneficial Owner△ (please copy this page to complete if more than 1 person and sign on the supplementary page) 請完成填寫以下最終實益擁有人資料△(如多於 1 人，請複印此頁填寫，並在附加頁上簽署)

☐ 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: 前名:	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 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	
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)	
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 須註明:_____
Net Worth(HKD) 淨資產(港元)	☐ <=$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 須註明:_____
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: _____

 # Please provide Board Minutes, the certified true copy of Latest Annual Return, Notification of Change OR Register of Directors and Shareholders.
請提供經簽名驗證的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複印本

△ Please provide the certified true copy of Passports or identity cards of Shareholders/Beneficial Owners, Directors, Authorized Traders and/or Authorized Signatories. 請提供經簽名驗證的股東/實益擁有人、董事、授權交易員及/或授權簽署人之護照或身份證複印本

☐ **Change of Correspondence Address 更改通訊地址**

New Correspondence Address 新通訊地址	

☐ **Change of Business Address 更改商業地址** Please provide the original or copy of statements which was issued within the latest 1 year as address proof. 請提供最近1年內發出的結單正本或複印本作地址證明。	
New Business Address 新商業地址	
☐ **Change of Tax Residency** 更改稅務居民所在國家/司法管轄	New Tax Residency 新稅務居民所在國家/司法管轄:
請填寫及簽署共同匯報標準 (CRS) 自我聲明書及(或) 公司<<海外賬戶稅收合規法案>>自行認證。 *Please provide the Common Reporting Standards (CRS) Self-Certification Form and (or) Corporate FATCA Self-Certification.*	

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

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

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

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

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

☐By E-mail Address電郵地址

☐By 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)

☐ **Update email address 更新電郵地址**	
New Email address 新電郵地址	

☐ **Subscribe / Unsubscribe* research reports sent by email 選擇 / 拒絕* 以電郵收取研究報告**

**Please delete as inappropriate 請刪去不適用者*

☐ **Update 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)	

☐ **Financial Profile 財務狀況**	
Annual Revenue (HKD) 全年營業額(港元)	☐ <= $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 specific 須註明: _____
Annual Net Profit (HKD) 全年淨利潤(港元)	☐ < =$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 specific 須註明: _____
Total Assets (HKD): 總資產(港元):	☐ < =$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 ☐$100,000,001-$500,000,000 ☐ > $500,000,000, please specific 須註明: _____
Source of Wealth 財富來源	☐ Business Income 營業收入 ☐ Sale of Property/Assets 出售物業/資產 ☐ Return of Investments 投資回報 ☐ Others 其他: _____
Source of Funds 資金來源	☐ Business Income 營業收入 ☐ Sale of Property/Assets 出售物業/資產 ☐ Return on Investments 投資回報 ☐ Others 其他: _____

☐ **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		
Virtual Assets 加密貨幣					

☐ **Other Disclosures 其他資料披露**

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%以上的股權?
☐ No 沒有 ☐ Yes 有 (If yes, please specify如有，請註明賬號: _____)

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)?
貴公司是否作為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 (If yes, full KYC information and Identity documents of 3rd party are required.
如是，需提供第3方之詳細資料及身份證明文件。)

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

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

Name of courses or seminars相關培訓或課程名稱:
☐ Derivatives knowledge training provided by Guotai Junan group company 國泰君安集團公司提供的衍生產品課程
(Please provide the completed and signed "Derivatives Knowledge Questionnaire" 請提供已完成及簽署之「衍生產品問卷」)

☐ Other courses or seminars 其他培訓或課程

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

Name of organized institution 舉辦機構名稱: _____

Attendance Date 出席日期: _____

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

Name of employer 僱主名稱: _____

Position 職位: _____

Job nature 工作性質: _____

Relevant employment period 在職年期: _____years (年)

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

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

你進行上述衍生產品交易時使用的金融機構名稱: _____

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

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

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

Internet Trading Function 網上交易服務：

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

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

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

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

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

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

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

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

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

Declaration & Signature 聲明及簽署

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.
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，吾等清楚貴司會要求吾等提供更多相關的資料或證明文件。

Authorized Signatures(s) with Company Chop (if applicable) 授權簽署及公司印章(如適用)	Date 日期

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

APPENDIX A – 附錄甲 **LIST OF INDUSTRIES NO. 1 - 40** **行業列表項目 1- 40** (updated in January 2026)		
1. Accommodation and Travel Services 住宿及旅遊服務	2. Activities of Religious Organisations 宗教組織活動	3. Advertising and Market Research 廣告及市場研究
4. Arms, Defense, Military-related Entities 軍火、國防、軍事相關實體	5. Atomic Power-related Entities 原子能相關實體	6. Auction House/Pawnshop 拍賣行/當舖
7. Civil Engineering, Construction and Engineering, Architecture Engineering and Activities 土木工程、建築與工程、建築工程及相關活動	8. Crop and Animal Production, Hunting and Related Service Activities 農作物及動物養殖、狩獵及相關服務活動	9. Dual Use Goods Trader/Manufacturer - Aerospace/Marine Products and Propulsion Systems/Lasers and Sensors 雙用途商品交易商/製造商 - 航空航太/海洋產品和推進系統
10. Embassies 大使館	11. Entertainment (e.g. Casino and Gambling-related Business, Bar, Disco, Night Club etc.) 娛樂場所（如賭場和賭博相關業務、酒吧、的士高、夜總會等）	12. Financial Service Activities (including Banks, Broker and Dealers, Financial Holdings Company and Insurance and Pension Fund) 金融服務活動（含銀行、經紀商、金融控股公司、保險和退休基金）
13. Food and Beverage Service Activities 餐飲服務活動	14. Healthcare and Veterinary Services 醫療保健及獸醫服務	15. Import and Export, Wholesale and Retail Trade (except High Value Items) 進出口貿易批發及零售業（除高價值物品外）
16. Information Technology Service Activities (e.g. the Provision of IT Services, Software Development and Consulting etc.) 資訊科技服務活動（如提供 IT 服務、軟件開發及諮詢等）	17. Legal and Accounting Activities 法律及會計活動	18. Licensed Non-Government Organization 經許可非政府組織
19. Manufacture of Daily Essentials/Household Goods (e.g. Food and Beverage, Textiles, Furniture, Electronic Equipment etc.) 民生用品的製造（如食品飲料、紡織品、傢俱、電子設備等）	20. Manufacture of Tobacco, Pharmaceuticals/Chemical/Metal Products or Transport Equipment 煙草製品/藥品/化學品/金屬製品/運輸設備的製造	21. Marijuana-related Entities 大麻相關實體
22. Mining, Extraction and Trading of Fossil Fuels, Precious Metal and Ores (e.g. Coal, Petroleum, Natural Gas, Precious Metals, and Ores etc.) 化石燃料、貴金屬與礦物的開採與貿易（如煤炭、石油、天然氣、貴金屬及礦物等）	23. Other Not Listed: Please State 其他未列出的行業：請說明	24. Personal Investment Company/Vehicle 個人投資公司/工具 ***[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):