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: _____

ADDITIONAL ACCOUNT OPENING FORM (INDIVIDUAL/JOINT ACCOUNT) 額外開戶申請表格(個人/聯名賬戶)

#Only applicable to client who hold active account with Guotai Junan Group Company (Personal Information Collection Statement, Self-certificate on FATCA and CRS are required for client who didn't submit before) #只適用於持有國泰君安集團公司有效賬戶之客戶 (若未有提交過個人資料收集聲明、海外賬戶稅收合規法案及通用報告準則自我聲明書，需額外提交)

Based on the information of my/our Existing Account with Guotai Junan Securities (Hong Kong) Limited/Guotai Junan Futures (Hong Kong) Limited/Guotai Junan FX Limited ("Guotai Junan Group Company"), I/we hereby provide the following additional information for the purpose of opening additional account.
根據**本人/吾等**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/國泰君安外匯有限公司（"國泰君安集團公司"）之現有賬戶的資料，本人/吾等現提供以下附加資料作爲開通額外賬戶之用。

Existing Account Number 現有賬號: _____

☐ All my/our information currently maintained by Guotai Junan Group Company is up-to-date, true and valid. You could rely on such information for the purpose of opening additional account.
保留於國泰君安集團公司之所有本人/吾等資料爲最新，準確及有效。閣下可依賴該等資料作爲開通額外賬戶之用。

☐ To update my/our information, I/we have completed the "Update of Client's Information (Individual/Joint Client)" Form. I/we hereby attach the duly completed Form together with the provision of the following additional information for the opening of additional account with Guotai Junan Group Company.
本人/吾等現附上已完成及簽署之"客戶資料更新表格(個人/聯名賬戶)"以更新本人/吾等資料並同時提供以下資料作爲於國泰君安集團公司額外開戶申請之用。

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

☐ **Opening of Securities Trading Account 開通證券交易賬戶**

I/We have carefully read and understood the contents of the Client Agreement for Securities Trading, including the Risk Disclosure Statement therein.
本人/吾等已仔細審閱並理解證券交易客戶協議書（包括風險披露聲明）

Account Type： 賬戶類別 ：

(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之網上交易服務?
(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]

☐ **Opening of CIES Account (Applicable to Securities Cash Account Holders only, Please provide CIES relevant forms and documents)**
開通投資移民證券交易賬戶(僅適用現金賬戶) (請同時提供投資移民相關表格及文件)

I/We have carefully read and understood the contents of the Client Agreement for Securities Trading, including the Risk Disclosure Statement therein.
本人/吾等已仔細審閱並理解證券交易客戶協議書（包括風險披露聲明）

Do you require internet trading services of CIES Securities Trading Account? 您是否需要開通投資移民證券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

Do you require trading in securities other than HK stocks? 您是否需要開通港股以外的其他證券交易?
(Please tick ✓ one item only 請只勾選✓一項) ☐ Yes 是 ☐ No 否
If yes, Please specify 如是，請述明: ☐ Bonds 債券 ☐ Funds 基金

☐ **Opening of HK Stock Options Trading Account[e] (Applicable for Securities Account Holder and knowledge of derivatives is required)**
開通香港股票期權交易賬戶[e] (適用於持有證券賬戶客戶及必須具備衍生產品的認識)

I I/We have carefully read and understood the contents of the Client Agreement for Stock Options Trading, including the Risk Disclosure Statement therein.
本人/吾等已仔細審閱並理解股票期權交易客戶協議書（包括風險披露聲明）

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

☐ **Opening of US Stock Options Trading Account[b] (Applicable to Professional Investors with US shares Markets and Securities Margin Account Holders only, with knowledge of derivatives required)**
開通美國股票期權交易賬戶[b] (只適用於已開立證券保證金賬戶(孖展賬戶) 及開通美國股票市場之專業投資者客戶，及必須具備衍生產品的認識)

I/We have carefully read and understood the contents of the Client Agreement for US Securities Trading (Segregated Account) Services, including the Risk Disclosure Statement therein.
本人/吾等已仔細審閱並理解美國證券交易(獨立賬戶)服務客戶協議書（包括風險披露聲明）

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

☐ **Opening of US Short Selling Trading Account[b] (Applicable to Securities Margin Account Holders only)**
開通美國股票沽空交易賬戶[b] (只適用於持有證券保證金賬戶之客戶)

I/We have carefully read and understood the contents of the Client Agreement for US Securities Trading (Segregated Account) Services, including the Risk Disclosure Statement therein.
本人/吾等已仔細審閱並理解美國證券交易(獨立賬戶)服務客戶協議書（包括風險披露聲明）

Do you require internet trading services of US 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

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

☐ **開通跨境理財通 - 北向通服務**

註：僅適用於持有《港澳居民來往內地通行證》(俗稱回鄉證) 並開立證券現金賬戶的個人客戶。不適用於聯名賬戶或證券保證金賬戶。)

本人知曉與「北向通」服務有關的風險(包括北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北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等。

☐ **Opening of Futures Trading Account (Knowledge of derivatives is required, please provide Standing Authority)**
開通期貨交易賬戶 (必須具備衍生產品的認識，請同時提供常設授權)

I/We have carefully read and understood the contents of the Client Agreement for Derivatives Trading, including the Risk Disclosure Statement therein.
本人/吾等已仔細審閱並理解衍生工具交易客戶協議書（包括風險披露聲明）
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

☐ **Opening of Foreign Exchange Trading Account (Please provide Standing Authority)**
開通外匯交易賬戶 (請同時提供常設授權)

I/We have carefully read and understood the contents of the Client Agreement for Foreign Exchange ("FX") and Bullion Trading, including the Risk Disclosure Statement therein.
本人/吾等已仔細審閱並理解外匯和貴金屬交易客戶協議（包括風險披露聲明）
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

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		

KNOWLEDGE OF DERIVATIVES (if applicable) 衍生產品的認識 (如適用)

(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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DECLARATION 聲明

I/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). 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 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 our application.
本人/吾等謹此聲明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。

(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(s)
(僅適用於中國內地投資者*) 有關交易賬戶之聲明

☐ I/We hereby confirm and declare that, I/we have read, understood and agreed to the declaration and terms as set out in the "Declaration for Chinese Mainland Investors Regarding Trading Account Opening", which has been provided to me/us and is posted on GTJAI's website (www.gtjai.com). I/We further declare that my/our funding sources are lawful and are not in violation of any capital control regulations of the China Mainland.
本人/吾等在此確認，本人/吾等已閱讀、明白及同意"有關中國內地投資者交易賬戶開立之聲明"項下之聲明及條款。該聲明已提供給本人/吾等並在國泰君安國際的網站(www.gtjai.com) 上發佈。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： 如閣下被視爲中國內地投資者，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。

I/ We request you to open the above additional Account(s) 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 the trading on Securities/ Stock Options / Derivatives Futures/ Leveraged Foreign Exchange .

本人/吾等向閣下申請開立以上額外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於進行證券/ 股票期權/ 衍生工具/ 期貨/槓桿式外匯 交易賬戶之條例及規則。

I/We understand the English or Chinese contents of the Client Agreement(s) as referred in the Opening of selected Trading Account(s) above (each an "Agreement" respectively) and that the contents of each Agreement (including the Risk Disclosure Statement) have been provided and fully explained to me/us in a language which I/we understand (English or Chinese). 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/吾等理解就上述選定開通的交易賬戶中所提及的客戶協議書(各自分別稱爲"協議") 的全部內容，且各協議及其內容(包括風險披露聲明)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/吾等以下之簽署表明本人/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。

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。

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，在開戶過程中提交僞造或虛假文件屬違法行爲。提交僞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。

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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

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
- ☐ 北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 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 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。

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