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

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 (BROKER-CLIENT ACCOUNT) 開戶申請表格 (經紀商-客戶賬戶)

Please provide:
1. Certified true copies of:-
   (a) Passports or identity cards of Authorized Signatories, Authorized Traders and Directors;
   (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) Regulatory / Registration proof;
2. AML letter / Completed AML Questionnaire
3. Settlement Instructions (if applicable)
4. 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、授權交易員及董事之護照或身份證;
   (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) 監管/註冊證明
2. 反洗錢協議原件/反洗錢問卷
3. 交收指示 (如適用)
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。

Part A: Customer Particulars 客戶資料

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

☐ **Securities Cash 證券現金賬戶** ☑ Client Account 客戶賬戶

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:
☐ Fund Managers 基金經理 ☐ Relevant Regulated Intermediary[1] 相關受規管中介人[1] ☐ 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(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)

Futures 期貨賬戶

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(d) 是(d) ☐ 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(a)(d) 是(a)(d) ☐ No 否

(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

2 INSTITUTION/FUND INFORMATION 機構 / 基金資料 *(Please tick ✓appropriate box. 請在適當空格加✓)*

☐ Bank 銀行 ☐ Broker/ Dealer 經紀人/經銷商
☐ Fund Management/Asset Management 基金管理/資產管理 ☐ Non-Bank Financial Institution 非銀行金融機構
Regulated by 監管方爲：_____ Country 國家: _____

Business Name (English):
業務名稱(英文):

Business Name (Chinese):
業務名稱(中文):

Trading Name (if different from the above):
商業名稱 (如與以上不同)

[1] A Relevant Regulated Intermediary also refers to an LC or RI which (i) carries out proprietary trading; or (ii) provides securities brokerage services for another person in respect of orders placed through an account opened and maintained for that person. 相關受規管中介人指符合以下說明的持牌法團或註冊機構：(i)進行自營交易，或(ii)就透過爲另一人開立和維持的賬戶發出的交易指令向該人提供證券經紀服務。

Registered Address: 註冊地址:	Country: 國家:
Business Address: 商業地址:	Country: 國家:
Correspondence Address: 通訊地址：	Country: 國家：
E-mail address: 電郵地址:	

Please provide relevant identity document and fill in details in following descending order of priority[2].
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[2]。
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: ( ) _____

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)

Paid Up Capital (HKD): 實收資本(港元):	Assets Under Management (HKD) (if applicable): 資產管理規模(港元) (如適用):

Total Assets (HKD): 總資產(港元):	Annual Revenue (HKD): 全年營業額(港元):	Net Profit after taxation for the last year (HKD): 去年稅後淨利潤(港元):

Total Net Asset Value (for Collective Investment Scheme only) 資產淨值總額 (僅用於集體投資計劃):

HKD 港元/USD 美元 _____ as at 截止 _____

[2] 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。

国泰海通 GUOTAI HAITONG

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			Structured Products 結構性產品		
Futures & Options 期貨及期權					

4	LIST OF DIRECTORS 董事名單			

5 OTHER DISCLOSURES *(Please tick ✓appropriate box. 請在適當空格加✓)*

Is member of your group companies currently maintaining account(s) with the companies of Guotai Junan Group?
貴集團/公司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: _____)

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

(1) 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 implies approval for opening of the Account for us and that you reserves the right to reject our application.
吾等謹此聲明表格上提供之所有資料均爲真實及正確，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。

(2) We request you to open a ☐ Securities Trading; and ☐ Derivatives Trading and agree to abide by the rules and regulations of the Hong Kong Exchanges and Clearing Limited ("HKEX"); the Hong Kong Futures Exchange Limited ("HKFE"); the Hong Kong Securities and Futures Commission ("HKSFC") or any other regulatory body(ies) as amended from time to time governing the trading on Securities and/or Derivatives .
吾等向閣下申請開立 ☐ 證券交易 ☐ 衍生工具交易 並同意遵守香港交易及結算所，香港期貨交易所，香港證券及期貨監察委員會及其他監管機構不時修訂以監管於進行證券和/或衍生工具交易之條例及規則。

We have carefully read and understood the contents of the Client Agreement for Securities Trading (for Broker Client) and Client Agreement for Derivatives Trading (for Broker Client) (as applicable based on the type of account requested) (each an "Agreement"). We expressly agree and consent, as evidence by the signature(s) below, to each and all the terms and provisions contained in each Agreement. We hereby declare that we are willing and capable of fulfilling the duties and obligations as specified in each Agreement, we hereby declare that we are willing and capable of fulfilling the duties and obligations as specified in each Agreement, including but not limited to those in relation to the Client Identity Rule Policy.

吾等已仔細審閱並理解證券交易（經紀人客戶）客戶協議書及衍生工具（經紀人客戶）客戶協議書、（根據客戶申請賬戶類型適用）（"協議"）的全部內容。吾等的以下簽名表明吾等完全同意和接受協議的全部條款和細節。吾等有能力並願意履行承擔協議規定的權利和義務。我們特此聲明，我們願意並且有能力履行每份協議中規定的職責和義務，包括但不限於與客戶身分規則的政策相關的職責和義務。

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.
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

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)

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

Date 日期

Witness' Qualification 見證人職位