国泰海通 GUOTAI HAITONG

GUOTAI JUNAN SECURITIES (HONG KONG) LIMITED
國泰君安證券(香港)有限公司
GUOTAI JUNAN FUTURES (HONG KONG) LIMITED
國泰君安期貨(香港)有限公司
GUOTAI JUNAN FX LIMITED
國泰君安外匯有限公司
27th Floor, Low Block, Grand Millennium Plaza,
181 Queen's Road Central, Hong Kong.
香港中環皇后大道中 181 號新紀元廣場低座 27 樓
Website 網址: www.gtjai.com

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

ACCOUNT OPENING FORM (CORPORATE ACCOUNT)
ONLY APPLICABLE FOR INSTITUTIONAL PROFESSIONAL INVESTOR (PI-A)
開戶申請表格（公司賬戶）僅適用於機構專業投資者（PI-A）

☐ **New Account 新開戶** ☐ **Account Reactivation 重新啓動不動戶** ☐ **Additional Account Opening 額外開戶**

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

☑ Cash 現金賬戶

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

☐ Delivery versus Payment ("DVP") 貨銀對付 ☐ Custody 託管

Client Type for Investor Identification Purpose 投資者識別碼客戶類別:
☐ Funds 基金 ☐ 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 不適用於國內投資者)
☐Shenzhen-Hong Kong Stock Connect 深港通 (Not applicable to Mainland Investors 不適用於國內投資者)

☐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)

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

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

Type of Company 公司類別:

☐ State-owned Company 國有企業
☐ Listed Company 上市公司 Stock Code 股票代號：_____
☐ Limited Company 有限公司
☐ Partnerships and Unincorporated bodies 合夥及非法團團體
☐ Fund Management/Asset Management 基金管理/資產管理
☐ Local Government Financing Vehicles (LGFV)地方融資平台
☐ Fund 基金
Country 國家：_____ Exchange 交易所/Market 市場：_____
☐ Not-for-Profit Organization 非牟利組織
☐ Non-Bank Financial Institution 非銀行金融機構
☐ Others (please state) 其他 (請註明)：
_____

Nature of Business 業務性質 (Please refer Appendix A for List of Industries and fill in the relevant number 行業列表請參考附錄甲，並填寫相關代號)	
Registered Office Address: 註冊地址:	Country 國家:
Principle Address of Business: 主要營業地址:	Country 國家:
Correspondence Address 通訊地址：	Country 國家:

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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. Under this option, you will access Statements via Online Trading Platform. Other notifications or correspondences will be provided to you by E-mail. 只適用於開通網上交易服務之賬戶。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

Please provide relevant identity document and fill in details in following descending order of priority[1]. 請依照下列的優先排序依次提供相關身份證明文件，並填寫信息[1]。

Please put "N/A" if not applicable.
如不適用，請填上 "N/A"。

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

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

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

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

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

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

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

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

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

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

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

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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	**LIST OF DIRECTOR 董事名單**			

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

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

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

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

☐ No 不是 ☐ Yes 是，please specify 請述明具體:

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

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

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

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

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Identification Information of Protector(s) or Enforcer(s) 保護人或執行人身份：	Name of Beneficiary(ies) 受益人姓名：
Identification Information of Beneficiary(ies) 受益人身份：	

Is your company acting as nominee company for a third party(the ultimate beneficial owner ("UBO") of this Account / person ultimately benefiting from the transactions and bearing the risk/ person ultimately responsible for originating instructions for the account)?
貴公司是否作爲代理人公司替第三者(最終實益擁有人/最終受益於交易及承擔風險人士/最終負責發出指示的人士)處理賬戶?
☐ No 不是 ☐ YES 是

6 ULTIMATE BENEFICIAL OWNER/ PERSON ULTIMATELY BENEFITING FROM THE TRANSACTIONS AND BEARING THE RISKS/ PERSON ULTIMATLEY RESPONSIBLE FOR ORIGINATING INSTRUCTIONS FOR THE ACCOUNT (FOR INDIVIDUAL ONLY) 最終實益擁有人/最終受益於交易及承擔風險人士/最終負責發出指示的人士 (只適用於個人)

(PLEASE COPY THIS PAGE TO COMPLETE IF MORE THAN 1 PERSON AND SIGN ON THE SUPPLEMENTARY PAGE)
(如多於 1 人，請複印此頁填寫，並在附加頁上簽署)
(Please tick ✓appropriate box. 請在適當空格加✓)

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

☐ Mr.先生 ☐ Ms.女士 ☐ Mrs.夫人	Last Name (English): 英文姓:	First Name (English): 英文名:	Chinese Name: 中文姓名:
	Former Name[1]: 前名 [1]:	Country of Birth: 出生國家:	Date of Birth: 出生日期:

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

Nationality(Please fill in more than one as appropriate): 國籍(可填寫多於一個):	Marital Status: 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: 電子郵件地址:	
Shareholding 所佔股權(%):	Control 所佔控制權(%):
Employment 就業情況: ☐ Employed 受僱 ☐ Self-employed 自僱 ☐ Retired 退休 ☐ Unemployed 無業 ☐ Housewife 家庭主婦 ☐ Student 學生	
Employer / Occupation Industry 僱主/職業行業 (Please refer Appendix A for List of Industries and fill in the relevant number 行業列表請參考附錄甲，並填寫相關代號)	
Name of Employer: 受僱/自僱機構名稱:	Present Position: 現時職位:
Office Address: 辦公室地址:	Country: 國家:
Country Code) Office Tel. No. (Optional): (國家區號) 辦公室電話號碼(可選填): ( )	(Country Code) Fax No. (Optional): (國家區號) 傳真機號碼(可選填): ( )
Company E-mail Address (Optional): 公司電子郵件地址(可選填):	
Annual Income (HKD): 全年收入(港元): ☐ <= $250,000 ☐ $250,001-$500,000 ☐ $500,001-$1,000,000 ☐ $1,000,001-$5,000,000 ☐ $5,000,001-$10,000,000 ☐ >$10,000,000, please specify[2] 須註明 [2]:	
Net Worth (HKD) [3]: 淨資產(港元) [3]: ☐ <=$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[4] 須註明 [4]:	

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 Please provide certified true copies of documents proving alternation of name. 請提供更改名稱證明文件的經簽名驗證複印本。
2 Client(s) must specify the number of annual income if their annual income are over $10,000,000. 客戶須註明其入息數字如其收入超過$10,000,000。
3 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。
4 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。

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

Signed by Salesperson 前線同事簽署		
To the best of my knowledge and belief, I hereby declare that I have collected the necessary documentary proof and verified the information in this form to be true and correct. 據本人所知及所信，我謹此聲明我已取得所需證明文件及核對本表格之資料均爲真實及正確。		
_____ Signature 簽署	_____ Name 姓名	_____ Date 日期

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Account Number 賬戶號碼: _____ **Account Name 賬戶名稱:** _____

8	**ADDITIONAL ACCOUNT TYPE 額外賬戶類別** *(Please tick ✓appropriate box. 請在適當空格加✓)*
☐	**Stock Options 股票期權賬戶** ☐ HK Stock Options[d] 香港股票期權[d] 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
☐	**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[e] 是[e] ☐ 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][e] 是[a][e] ☐ 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

9	**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 ☐ Stock Options Trading (except US stock options trading) ☐ Derivatives Trading ☐ Foreign Exchange ("FX") and Bullion 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/Derivatives/ Foreign Exchange .
吾等向閣下申請開立 ☐ 證券交易 ☐ 股票期權交易 (美國股票期權交易除外) ☐ 衍生工具交易 ☐外匯和貴金屬交易
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/衍生工具/外匯交易之條例及規則。

We have carefully read and understood the contents of the Terms and Conditions for Securities Trading for Institutional Professional Investor Client, Client Agreement for Derivatives Trading and Client Agreement for Foreign Exchange and Bullion Trading (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.
吾等已仔細審閱並理解機構專業投資者客戶的證券交易條款和條件、衍生工具交易客戶協議書 及外匯和貴金屬交易客戶協議（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。

SIGNED by Client 客戶簽署

▶ _____

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

_____ _____

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

SIGNED by Witness 見證人簽署

I, the undersigned, have witnessed the signature and inspected the original identity documents of the above-named client.
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

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/當鋪
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):