國泰海通 GUOTAI HAITONG | 國泰君安國際 GUOTAI JUNAN INTERNATIONAL

ACCOUNT OPENING INSTRUCTIONS (INDIVIDUAL/JOINT CLIENT)

Dear Applicant(s),

Thank you for your account opening application. In order to comply with the relevant rules and regulations of Hong Kong, please follow the following steps when completing your application:

1. Read 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** carefully, in particular the **Risk Disclosure Statements** and the **Disclosure on Best Execution**. Ask your Relationship Manager or our Customer Services Department on any questions you may have.

2. Complete all relevant sections of the **Account Opening Form**, mark N/A or X in those that are not applicable to you. Any incomplete or omitted information on the Account Opening Form will cause unnecessary delay or rejection of your application.

3. Read carefully the Declaration in the **Account Opening Form**, sign and date.

4. You may request Guotai Junan's employee to witness your signature, sign and date the Witness Signature section on the **Account Opening Form**. Where signing the Account Opening Form in the presence of Guotai Junan's employee is not possible, you should arrange to have the signed Account Opening Form and the identification document(s) **certified** by a Justice of the Peace (JP), or a professional person such as practising certified public accountant (CPA), lawyer or notary public. Please note that the Account will not be opened until the application has been accepted by Guotai Junan.

5. If you intend to trade US shares and/or US Stock Short Selling and/or US Stock Options and/or US Futures and/or Bond Direct market, please sign and date on the **Form W-8BEN (Non-U.S. Citizen)**. U.S. nationals, citizens, or tax residents (including one of the holders of a joint account) are not allowed to open above US trading market.

6. If you intend to trade Canadian Stocks, please sign and date on the **Canadian Market Data Agreement** and **NR Form**. Canada nationals, citizens, or tax residents (including one of the holders of a joint account) are not allowed to open Canada market for stock trading.

7. If you intend to trade Vietnamese Stocks, please read carefully and understand **Additional Risk Disclosures on Investing in Vietnamese Securities Market** prior requesting Vietnam shares trading function. You can download the Additional Risk Disclosures on Investing in Vietnamese Securities Market from our website.

8. Clients who possess Mainland China ID documents only and have not obtained any identity document as proof of permanent residence in a country or region outside Mainland China otherwise (including one of the holders of a joint account), are not allowed to trade China A Shares through Shanghai / Shenzhen Stock Connect.

9. Client holding The People's Republic of China Resident Identity Card / PRC Passport / Taiwan Identity Card / Taiwan Passport (including one of the holders of a joint account) are not allowed to open Taiwan market for stock trading. All source of investing funds in Taiwan securities should not and would not be from PRC or Taiwan.

10. Australia nationals, citizens, or tax residents (including one of the holders of a joint account) are not allowed to open Australia market for stock trading.

11. South Korea nationals, citizens, or tax residents (including one of the holders of a joint account) are not allowed to opening Korea market for stock trading.

12. If you intend to trade futures and/or FX, please sign and date on the **Standing Authority under Securities and Futures (Client Money) Rules (Cap. 571I)**.

13. If you intend to trade futures and/or Stock Options, the Knowledge of derivatives is required.

14. Return the signed **Account Opening Form <u>TOGETHER WITH</u>** the following supporting documents to Guotai Junan:

    (i) Copy of your passport / identity card (certified and signed by recognized persons as mentioned in section 4 above)
    (ii) A statement proof of your residential address within the past 1 year
    (iii) Client Risk Profiling Questionnaire (if applicable)

15. If you authorize another person to operate your account, please fill in and sign the **Power of Attorney to Operate Trading Account**.

16. Be sure to retain the Client Agreement, Fees, Commission & Charges and for your own reference.

17. For protection of your own interests, it is your duty to ensure the security of your own account number, Internet trading password and PIN. Guotai Junan will not be responsible for any claims, damages or losses suffered by you as a result of any unauthorized trading or order made through or under your account number, Internet trading password and PIN.

18. You are also required to keep Guotai Junan up-to-date on your personal information. Failure to do so may cause your Account to be restricted and you are responsible for such restrictions and consequences.

Should you have any questions, please contact your Relationship Manager or below Official Contact Channels:

- Official Website: https://www.gtjai.com
- Customer Service Hotline: (852) 2509 7524
- Customer Service Email: customer.service@gtjas.com.hk

GUOTAI JUNAN SECURITIES (HONG KONG) LIMITED
GUOTAI JUNAN FUTURES (HONG KONG) LIMITED
GUOTAI JUNAN FX LIMITED

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