

**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

27<sup>th</sup> 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

<b>Client Code:</b> _____	<b>AE Code :</b> _____
<b>Related Account:</b> _____	
<b>Checked by:</b> _____	<b>Date:</b> _____

**開戶申請表格(個人/聯名帳戶)**

請提供個人客戶及聯名客戶之:

1. 帳戶持有人的有效身份證及/或護照的經簽名驗證書印本<sup>1</sup>
2. 最近 1 年的結單住址證明
3. 投資產品 - 風險承受能力問卷(個人/聯名客戶適用)
4. 申請及終止交易平台(適用於開設期貨帳戶)
5. 常設授權(適用於開設期貨/外匯帳戶)
6. 香港股票期權持有額及須申報的持倉量規則(適用於開設股票期權帳戶)

*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帳戶, 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。*

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

- Individual 個人帳戶       Joint Account 聯名帳戶

**Securities 證券帳戶**       **Securities & Stock Options 證券及股票期權帳戶**

- Cash 現金帳戶       Margin 孖展帳戶

Do you require internet trading services of Securities Trading Account? 您是否需要開通證券交易帳戶網上交易服務?

(Choose only one below 以下只選一項)

- 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說明:

- |  |  |
|--|--|
| <input type="checkbox"/> Shanghai-Hong Kong Stock Connect 滬港通 (Not Applicable to Mainland Investors 不適用於國內投資者) | <input type="checkbox"/> Swiss shares 瑞士股票   |
| <input type="checkbox"/> Shenzhen-Hong Kong Stock Connect 深港通 (Not Applicable to Mainland Investors 不適用於國內投資者) | <input type="checkbox"/> Canadian shares 加拿大股票   |
| <input type="checkbox"/> Australian shares 澳洲股票  | <input type="checkbox"/> B shares 中國 B 股   |
| <input type="checkbox"/> French shares 法國股票  | <input type="checkbox"/> Bonds 債券  |
| <input type="checkbox"/> Korean shares 韓國股票  | <input type="checkbox"/> Funds 基金  |
| <input type="checkbox"/> US shares 美國股票  | <input type="checkbox"/> German Shares 德國股票  |
| <input type="checkbox"/> Bond Direct 線上債券  | <input type="checkbox"/> Singaporean shares 新加坡股票  |
|  | <input type="checkbox"/> Japanese shares 日本股票  |
|  | <input type="checkbox"/> Malaysian shares 馬來西亞股票   |
|  | <input type="checkbox"/> Taiwanese shares 台灣股票   |
|  | <input type="checkbox"/> UK shares 英國股票  |
|  | <input type="checkbox"/> Structured product 結構性產品(Applicable to Professional Investors only 只適用於專業投資者) |

**Stock Options 股票期權**

Please specify 請說明

- HK Stock Options 香港股票期權       US Stock Options 美國股票期權  
(Applicable to Professional Investors and Securities Margin Account Holders only)  
(只適用於專業投資者並持有證券保證金帳戶之客戶)

**跨境理財通 - 南向通服務 (僅適用現金帳戶)**

**US Stock Short Selling Trading Account (Applicable to Securities Margin Account Holders only)**

開通美國股票沽空交易帳戶 (只適用於持有證券保證金帳戶之客戶)

**Futures 期貨帳戶**

Do you require internet trading services of Derivatives Trading Account? 您是否需要開通衍生工具交易帳戶之網上交易服務?

(Choose only one below 以下只選一項)

- Yes 是       No 否

Do you require trading in US Futures? 您是否需要開通美國期貨交易?       Yes 是       No 否

**FX 外匯帳戶**

Do you require internet trading services of Foreign Exchange Trading Account? 您是否需要開外匯交易帳戶之網上交易服務?

(Choose only one below 以下只選一項)

- Yes 是       No 否

<b>2 PERSONAL INFORMATION 個人資料</b> (Please tick appropriate box. 請在適當空格加✓)			
<b>Primary Client 客戶</b>			
<input type="checkbox"/> Mr.先生	Last Name (English): 英文姓:	First Name (English): 英文名:	Chinese Name: 中文姓名:
<input type="checkbox"/> Ms.女士			
<input type="checkbox"/> Mrs.夫人			
Former Name <sup>2</sup> : 前名:	Country of Birth: 出生國家:	Nationality (Please fill in more than one as appropriate): 國籍 (可填寫多於一個):	
	Date of Birth: 出生日期:	Marital Status: <input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚	
Please provide relevant identity document and fill in details in following descending order of priority <sup>3</sup> . 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 <sup>3</sup> 。			
Please put "N/A" if not applicable. 如不適用，請填上 "N/A"。			
(1)	HKID Card No.: 香港身份證號碼:	(2)	National ID Card No.: 國家身份證號碼:
			Place of Issue of National ID Card: 國民身份證發出地:
		(3)	Passport No.: 護照號碼:
			Place of Issue of Passport: 護照發出地:
Residential Address: 住宅地址:			Country 國家:
Permanent Address (if different from Residential Address): 永久地址 (如與住宅地址不同):			Country 國家:
Correspondence Address : 通訊地址 :			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: ( )	
Mobile Phone No. for OTP for Internet trading services of Securities Trading Account 獲取證券交易帳戶網上交易服務「一次性驗證碼」 <input type="checkbox"/> same as above 同上 <input type="checkbox"/> Other Mobile Phone No.其他 手提電話號碼: ( )			
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): <input type="checkbox"/> 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帳戶) ^ ^ 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。 <input type="checkbox"/> By E-mail Address 電郵地址 <input type="checkbox"/> By Company E-mail Address 公司電郵地址 <input type="checkbox"/> 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)			
Education 教育程度:	<input type="checkbox"/> Primary or below 小學或以下	<input type="checkbox"/> Secondary or post-secondary 中學或專上學院	<input type="checkbox"/> Graduate or above (not related to Economics / Finance / Accounting) 大學或以上 (非跟經濟/金融/會計相關)
			<input type="checkbox"/> Graduate or above (related to Economics / Finance / Accounting) 大學或以上 (跟經濟/金融/會計相關)
Employment 就業情況:	<input type="checkbox"/> Employed 受僱	<input type="checkbox"/> Self-employed 自僱	<input type="checkbox"/> Retired 退休
	<input type="checkbox"/> Unemployed 無業	<input type="checkbox"/> Housewife 家庭主婦	<input type="checkbox"/> 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 of Primary Client: 客戶受僱/自僱機構名稱:			Present Position <sup>4</sup> : 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): 公司電郵地址(可選填):			

Annual Income (HK\$): 全年收入(港幣):	<input type="checkbox"/> ≤ \$250,000	<input type="checkbox"/> \$250,001-\$500,000	<input type="checkbox"/> \$500,001-\$1,000,000
	<input type="checkbox"/> \$1,000,001-\$5,000,000	<input type="checkbox"/> \$5,000,001-\$10,000,000	
	<input type="checkbox"/> > \$10,000,000, please specify 須註明 <sup>5</sup> : <input type="text"/>		
Net Worth (HK\$) <sup>6</sup> : 淨資產(港幣):	<input type="checkbox"/> ≤ \$500,000	<input type="checkbox"/> \$500,001-\$1,000,000	<input type="checkbox"/> \$1,000,001-\$5,000,000
	<input type="checkbox"/> \$5,000,001-\$10,000,000	<input type="checkbox"/> \$10,000,001-\$50,000,000	<input type="checkbox"/> \$50,000,001-\$100,000,000
	<input type="checkbox"/> > \$100,000,000, please specify 須註明 <sup>7</sup> : <input type="text"/>		
Source of Funds 資金來源	<input type="checkbox"/> Salary / Business Income 薪俸/營業收入	<input type="checkbox"/> Pension 退休金	
	<input type="checkbox"/> Return on Investments 投資回報	<input type="checkbox"/> Others 其他: <input type="text"/>	
Source of Wealth 財富來源	<input type="checkbox"/> Salary / Business Income 薪俸/營業收入	<input type="checkbox"/> Savings 儲蓄	
	<input type="checkbox"/> Sale of Investments 投資回報	<input type="checkbox"/> Inheritance / Gift 遺產/贈物	
	<input type="checkbox"/> Retirement Funds 退休金	(Please fill Appendix B 請填附錄乙)	
	<input type="checkbox"/> Others 其他: <input type="text"/>	<input type="checkbox"/> Sale of Property / Assets 出售物業/資產	

1 For client who is neither a HK permanent resident nor citizen of People's Republic of China, please provide a certified true copy of BOTH National ID Card (if applicable) and passport for non-permanent HK resident. 客戶如不屬香港永久性居民或中華人民共和國公民，請同時提交其國民身份證(如適用)及旅遊證件的經簽名驗證複印本。

2 Please provide copies of documents proving alteration of name. 請提供更改名稱證明文件複印本。

3 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. Please also refer to footnote 1, provide relevant identity documents as required and fill in relevant part of the table. 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。請同時參閱註釋1，提供要求的相關身分證明文件，並填寫本表格相關部分。

4 Please provide business card and complete the field accordingly (if available). 請提供名片，並填寫列印在名片上的職位(如有)。

5 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。

6 Net Worth = Total Assets (include Fixed Assets) minus Total Liabilities 淨資產 = 總資產(包括固定資產)減去總負債

7 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。

### Joint Client 客戶

<input type="checkbox"/> Mr. 先生	Last Name (English): 英文姓:	First Name (English): 英文名:	Chinese Name: 中文姓名:
<input type="checkbox"/> Ms. 女士			
<input type="checkbox"/> Mrs. 夫人			

Former Name <sup>2</sup> : 前名:	Country of Birth: 出生國家:	Nationality (Please fill in more than one as appropriate): 國籍 (可填寫多於一個):
	Date of Birth: 出生日期:	Marital Status: <input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚
		婚姻狀況:

Please provide relevant identity document and fill in details in following descending order of priority<sup>3</sup>.

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<sup>3</sup>。

Please put "N/A" if not applicable.

如不適用，請填上 "N/A"。

(1) HKID Card No.: 香港身份證號碼:	(2) National ID Card No.: 國民身份證號碼:	(3) Passport No.: 護照號碼:
	Place of Issue of National ID Card: 國民身份證發出地:	Place of Issue of Passport: 護照發出地:

Residential Address: 住宅地址:	Country 國家:
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Permanent Address (if different from Residential Address): 永久地址 (如與住宅地址不同):	Country 國家:
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(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: 電郵地址:
--------------------------

Education 教育程度:	<input type="checkbox"/> Primary or below 小學或以下	<input type="checkbox"/> Secondary or post-secondary 中學或專上學院	<input type="checkbox"/> Graduate or above (not related to Economics / Finance / Accounting) 大學或以上 (非跟經濟/金融/會計相關)	<input type="checkbox"/> Graduate or above (related to Economics / Finance / Accounting) 大學或以上 (跟經濟/金融/會計相關)
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Employment 就業情況:	<input type="checkbox"/> Employed 受僱	<input type="checkbox"/> Self-employed 自僱	<input type="checkbox"/> Retired 退休
	<input type="checkbox"/> Unemployed 無業	<input type="checkbox"/> Housewife 家庭主婦	<input type="checkbox"/> 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)	
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Name of Employer of Joint Client: 聯名客戶受僱/自僱機構名稱:	Present Position <sup>4</sup> : 現時職位:
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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): 公司電郵地址(可選填):		
Relationship between Primary Client and Joint Client: 客戶與聯名客戶的關係:		
Annual Income (HK\$): 全年收入(港幣):	<input type="checkbox"/> <= \$250,000 <input type="checkbox"/> \$1,000,001-\$5,000,000 <input type="checkbox"/> >\$10,000,000, please specify 須註明 <sup>5</sup> : <input style="width: 150px;" type="text"/>	<input type="checkbox"/> \$250,001-\$500,000 <input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> \$1,000,001-\$5,000,000 <input type="checkbox"/> \$50,000,001-\$100,000,000
Net Worth (HK\$) <sup>6</sup> : 淨資產(港幣):	<input type="checkbox"/> <= \$500,000 <input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> > \$100,000,000, please specify 須註明 <sup>7</sup> : <input style="width: 150px;" type="text"/>	<input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> \$10,000,001-\$50,000,000 <input type="checkbox"/> \$1,000,001-\$5,000,000 <input type="checkbox"/> \$50,000,001-\$100,000,000
Source of Funds 資金來源	<input type="checkbox"/> Salary / Business Income 薪俸/營業收入 <input type="checkbox"/> Return on Investments 投資回報	<input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Others 其他: <input style="width: 100px;" type="text"/>
Source of Wealth 財富來源	<input type="checkbox"/> Salary / Business Income 薪俸/營業收入 <input type="checkbox"/> Sale of Investments 投資回報 <input type="checkbox"/> Retirement Funds 退休金 <input type="checkbox"/> Others 其他: <input style="width: 100px;" type="text"/>	<input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Inheritance / Gift 遺產/贈物 (Please fill Appendix B 請填附錄乙) <input type="checkbox"/> Sale of Property / Assets 出售物業/資產

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 (HK\$) 每月交易金額(港幣)	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 (HK\$) 每月交易金額(港幣)
Stocks 股票			Funds 基金		
Bonds 債券			Structured Products 結構性產品		
Futures & Options 期貨及期權			Forex 外匯		

4 KNOWLEDGE OF DERIVATIVES 衍生產品的認識 (PLEASE TICK THE APPROPRIATE BOX. 請在適當空格加✓)
1. <input type="checkbox"/> 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: _____ <input type="checkbox"/> 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」) <input type="checkbox"/> 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. <input type="checkbox"/> 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. <input type="checkbox"/> 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

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

Are you the employee of a SFC's licensed or registered person?

您是否證監會持牌或註冊人的僱員?

No 不是  Yes 是 - Please provide Employer's Consent Letter and specify 請提供僱主同意書及述明具體：

Name of Licensed Corporation/Registered Institution 持牌法團或註冊機構名稱：\_\_\_\_\_

CE Reference 中央編號：\_\_\_\_\_

Are you a senior management or director of any listed company whose shares are traded on any exchange or market?

您是在任何交易所或市場上交易股票的任何上市公司的高級管理人員或董事嗎？如果是，請說明公司名稱和股票代碼

No 不是  Yes 是 - Please specify the company name(s) and stock code(s) 請說明公司名稱和股票代碼

Company Name(s) 公司名稱：\_\_\_\_\_

Stock Code(s) 股票代碼：\_\_\_\_\_

Are you or your relatives currently employed by the companies of Guotai Junan Group?

您或親屬是否現受僱於國泰君安集團的公司？

No 沒有  Yes 有 (If yes, please specify Name & Relationship 如有，請述明姓名及關係：\_\_\_\_\_)

Is your spouse currently maintaining Account with the companies of Guotai Junan Group?

您的配偶是否在國泰君安集團的公司開有帳戶？

No 沒有  Yes 有 (If yes, please specify 如有，請述明帳號：\_\_\_\_\_)

Are you, either alone or with your spouse, in control of 35% or more of the issued shares of any corporate client of Guotai Junan Group?

您是否個人或與您的配偶共同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，請述明帳號：\_\_\_\_\_)

Have you been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements?

您是否曾經涉及違法或違反監管守則而被捕/受審/被判刑/被紀律處分？

No 不是  Yes 是 (If yes, please specify 如果是，請述明具體：\_\_\_\_\_)

Are you or your immediate family members Politically Exposed Person ("PEP"), a person connected with PEP, senior government official or senior executive of a state-owned corporation?\*

您或您的直系親屬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 (If yes, please specify 如果是，請述明具體：\_\_\_\_\_)

Name of PEP 政治人物姓名	Relationship to PEP 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)

Are you the ultimate beneficial owner ("UBO") of this Account / person ultimately benefiting from the transactions and bearing the risk?

你是否此帳戶的最終實益擁有人/最終受益於交易及承擔風險人士？

Yes 是  No 不是 (If no, please complete Section 6. 如果不是，請填寫 6)



Are you the person ultimately responsible for originating instructions for the account?

您是否向戶口最終負責發出指示的人士?

Yes 是  No 不是 (If no, please complete Section 6. 如果不是, 請填寫 6)

**6 ULTIMATE BENEFICIAL OWNER / PERSON ULTIMATELY BENEFITING FROM THE TRANSACTIONS AND BEARING THE RISKS / PERSON ULTIMATELY RESPONSIBLE FOR ORIGINATING INSTRUCTIONS FOR THE ACCOUNT (PLEASE COPY THIS PAGE TO COMPLETE IF MORE THAN 1 PERSON AND SIGN ON THE SUPPLEMENTARY PAGE)**

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 (如多於 1 人, 請複印此頁填寫, 並在附加頁上簽署)  
 (Please tick the appropriate box. 請在適當空格加✓)

<input type="checkbox"/> ULTIMATE BENEFICIAL OWNER 最終實益擁有人		<input type="checkbox"/> PERSON ULTIMATELY BENEFITING FROM THE TRANSACTIONS AND BEARING THE RISKS 最終受益於交易及承擔風險人士		<input type="checkbox"/> PERSON ULTIMATELY RESPONSIBLE FOR ORIGINATING INSTRUCTIONS FOR THE ACCOUNT 最終負責發出指示的人士	
<input type="checkbox"/> Mr. 先生	Last Name (English): 英文姓:		First Name (English): 英文名:		Chinese Name: 中文姓名:
<input type="checkbox"/> Ms. 女士	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:	
<input type="checkbox"/> Mrs. 夫人	Former Name <sup>2</sup> : 前名:		Country of Birth: 出生國家:		Date of Birth: 出生日期:
Nationality (Please fill in more than one as appropriate): 國籍 (可填寫多於一個):			Marital Status: <input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚 婚姻狀況:		
Residential Address: 住宅地址:				Country 國家:	
Permanent Address (if different from Residential Address): 永久地址 (如與住宅地址不同):				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: 電郵地址:					
Education 教育程度:		<input type="checkbox"/> Primary or below 小學或以下	<input type="checkbox"/> Secondary or post-secondary 中學或專上學院	<input type="checkbox"/> Graduate or above (not related to Economics / Finance / Accounting) 大學或以上 (非跟經濟/金融/會計相關)	<input type="checkbox"/> Graduate or above (related to Economics / Finance / Accounting) 大學或以上 (跟經濟/金融/會計相關)
Employment 就業情況:		<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Unemployed 無業	<input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Housewife 家庭主婦	<input type="checkbox"/> Retired 退休 <input type="checkbox"/> 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 <sup>3</sup> : 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): 公司電郵地址(可選填):					
Relationship between Account Holder and UBO / person ultimately benefiting from the transactions and bearing the risk / person ultimately responsible for originating instructions for the account : 客戶與最終實益擁有人之關係/客戶與最終受益於交易及承擔風險人士之關係/客戶與最終負責發出指示的人士之關係: _____					
Net Worth (HK\$): 淨資產(港幣):		<input type="checkbox"/> <= \$500,000 <input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> > \$100,000,000, please specify 須註明 <sup>5</sup> : <input type="text"/>	<input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> \$10,000,001-\$50,000,000	<input type="checkbox"/> \$1,000,001-\$5,000,000 <input type="checkbox"/> \$50,000,001-\$100,000,000	

Source of Wealth 財富來源	<input type="checkbox"/> Salary / Business Income 薪俸/營業收入	<input type="checkbox"/> Savings 儲蓄
	<input type="checkbox"/> Sale of Investments 投資回報	<input type="checkbox"/> Inheritance / Gift 遺產/贈物
		(Please fill Appendix B 請填附錄乙)
	<input type="checkbox"/> Retirement Funds 退休金	<input type="checkbox"/> Sale of Property / Assets 出售物業/資產
	<input type="checkbox"/> Others 其他: _____	

**7 SELF –CERTIFICATION DECLARATION OF RESIDENCE FOR TAX PURPOSE 稅務居民身份聲明**

Important Notice to Customer(s): Please read this section before completing this form.

客戶須知: 填寫此表格前, 請先閱讀本節。

Financial institutions are not allowed to provide tax advice.

*If you have any questions regarding this form or defining your tax residency status, please speak to your tax adviser or relevant tax authority.*

*Please find out more on the OECD website (<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>), including a list of jurisdictions that have signed agreements to exchange information automatically, along with details about the information being requested.*

金融機構均不允許給予客戶稅務諮詢。

如果您對此表格或您的稅務居民身份定義有任何疑問, 請聯繫您的稅務顧問或相關稅務機關。您可以從經濟合作與發展組織(OECD)自動訊息交換網站, 獲取更多詳情, 包括已簽署自動交換信息協議的司法管轄區的名單及被請求交換的有關信息。

(<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>)

**Please note that where there are joint account holders or with third party under Section 6, each account holder and third party is required to complete a separate Self-Certification form.**

**請注意: 如果客戶為聯名帳戶或第六項為第三者, 各聯名帳戶持有人及第三者必須各自填寫一份自我聲明書。**

*You may be asked to provide additional documents to evidence the declaration made on this form.*

您可能會被要求提供額外證明文件, 以核實此表格上之內容。

I hereby confirm that I am, for tax purposes, resident in the following countries.

本人聲明本人為下列司法管轄區之稅務居民。

If a TIN is unavailable, please provide the appropriate reason A, B or C:

如未能提供稅務編號, 請填寫理由 A, B 或 C。

Reason A The jurisdiction where the Account Holder is a resident for tax purposes does not issue TINs to its residents.  
理由 A 帳戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

Reason B The Account Holder is unable to obtain a TIN or equivalent number. (Please explain why you are unable to obtain a TIN in the below table)  
理由 B 帳戶持有人不能取得稅務編號。(請在下表中解釋不能取得稅務編號的原因)

Reason C TIN is not required. Select this reason only if the authorities of the jurisdiction of tax residence do not require the TIN to be disclosed.  
理由 C 帳戶持有人毋須提供稅務編號。(這理由只適用於居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。)

**Primary Client 客戶**

Jurisdiction of Residence 稅務居民司法管轄地	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如未能提供稅務編號, 請填寫理由 A, B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選擇理由 B, 請提供不能取得稅務編號的原因


**Additional Disclosure (if applicable) 額外披露 (如適用)**

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第三級（即\$10,000）罰款。

In the event of any inconsistency between the English and Chinese language text on this Self-Certification form, the English version will prevail and all information provided by you on this form will be treated as addressing the English text.

如此表格的中、英文兩個版本有任何不相符之處，應以英文版本為準，所有您在此聲明書提供的資料會被視為回應英文版本原文。

**8 DECLARATION OF FATCA INFORMATION 海外帳戶稅收合規法案聲明 (Please tick appropriate box. 請在適當空格加✓)**

**Please note that where there are joint account holders or with third party under Section 6, each account holder and third party is required to complete a separate declaration form.**

**請注意：如果客戶為聯名帳戶或第六項為第三者，各聯名帳戶持有人及第三者必須各自填寫一份聲明書。**

1. Are you a "U.S. Citizen" 您是否"美國公民"?

NO 否  YES 是, please specify TIN 請提供稅務身份號碼 \_\_\_\_\_

2. Are you a "U.S. Resident" 您是否"美國居民"?

NO 否  YES 是, please specify TIN 請提供稅務身份號碼 \_\_\_\_\_

3. Do you hold a "U.S. Permanent Resident Card (Green Card)" 你是否持有"美國永久居民身份證(綠卡)"?

NO 否  YES 是, please specify TIN 請提供稅務身份號碼 \_\_\_\_\_

I hereby confirm the information provided above is true, accurate and complete. I undertake to notify Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited and/or Guotai Junan FX Limited within 30 calendar days if there is a change in any information which I have provided.

本人確認以上所提供的資料是真實、準確以及完整。本人保證本人提供的任何資料如有變更，本人會於三十日內通知國泰君安證券(香港)有限公司、國泰君安期貨(香港)有限公司 及/或 國泰君安外匯有限公司。

**9 STANDING PAYMENT INSTRUCTION 常設收款指示 (Only accept bank account in Hong Kong 只接受香港銀行帳戶)**

Please pay the money received on my/our behalf into the following bank account opened in my/our own name upon my request.

請在本人要求時將為本人/吾等代收的款項轉帳到下列以本人/吾等名義開設的銀行帳戶。

Name of Bank 銀行名稱: \_\_\_\_\_

Bank Account No. 銀行帳戶號碼: \_\_\_\_\_ Currency 貨幣: \_\_\_\_\_

Documents to be provide:

Supporting document of the bank account to be registered (e.g. bank statement showing the relevant name and account number)

需提交之證明文件:

登記之銀行帳戶證明文件(例如銀行結單需顯示姓名及銀行帳戶號碼)



I/We, the under-signed, hereby confirm that:

1. I/we shall refer to Fees Schedule for remittance bank charges;
2. I am/we are the ultimate beneficial owner of the funds in the above Account;
3. The source of the fund or the purpose of the remittance do not involve terrorist financing activities, or proceeds of organized and serious crimes;
4. I/we shall bear the losses, responsibilities and risks pertinent to this withdrawal, transfer or payment to third party instruction;
5. I/we have enquired with the receiving bank and confirm that the receiving bank can receive the fund to be transferred from your company; and
6. I/we understand that the funds are remitted in the name of your company;
7. I/we understand that the submission deadline is 2:00 pm for normal business day and 11:00am for half trading day; Instruction will be handled by next business day if submission after the cut-off time;
8. I/we acknowledge and agree that the staff of your company may at any time contact me/us over the phone to confirm the details of my/our withdrawal request if they have any questions on its validity; and that your company is entitled to reject my/our withdrawal request without any liabilities if I/we am/are unable to verify the relevant details satisfactorily.

本人/吾等，以下簽署者，謹此確認：

1. 本人/吾等明白並參閱收費明細以了解提款的銀行費用；
2. 證券 / 期貨 / 外匯 帳戶的款項最終受益人為本人/吾等；
3. 匯款來源 / 匯款目的並不涉及為恐怖分子集資活動、販毒得益或有組織及嚴重罪行的得益；
4. 本人/吾等同意承擔可能因此提款、轉帳或付款至第三者而引致之爭議、損失、責任及風險；
5. 本人/吾等已向收款銀行查詢並確認收款銀行可以接收從貴司匯出的款項；
6. 本人/吾等明白所有匯款是以貴司之名義匯出；
7. 本人/吾等明白截止提款時間為每天交易日下午 2:00 正和半天交易日為上午 11:00，任何在上述截止提款時間後收到的提款指示將當作次個工作日的提款；
8. 本人/吾等明白如對轉款有任何疑問，貴司營運部將隨時致電聯絡本人/吾等確認提款資料；如無法聯絡本人/吾等，提款手續將不獲辦理。

#### 10 SIGNING ARRANGEMENT 簽名安排 (For Joint Account Only. 只適用於聯名帳戶)

The Account can be operated under the instruction of (please tick the appropriate box):

此帳戶可根據以下指示方式操作(請在適當空格加✓):

Either one of the account holder; or

Both account holders

任何一位帳戶持有人的指示

兩位帳戶持有人的指示

#### 11 PIN SETTING 私人密碼設定 (Please tick the appropriate box. 請在適當空格加✓)

For identification purpose, please provide a Personal Identification Number (PIN) (For Trading By Telephone):

為了方便在進行電話交易時確認身份，請提供一個私人密碼(PIN):

Securities 證券帳戶 / Securities & Stock Options 證券及股票期權帳戶: \_\_\_\_\_

Futures 期貨帳戶: \_\_\_\_\_

FX 外匯帳戶: \_\_\_\_\_

#### 12 PERSONAL DATA 個人資料 (Please tick the appropriate box. 請在適當空格加✓)

##### Acknowledgement and Consent 確認明白及同意

I/We acknowledge I/we have read and understand the content of the Personal Information Collection Statement of Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and Guotai Junan Assets (Asia) Limited (individually or collectively "GTJA"), which has been provided to me/us and is posted on GTJA's website (www.gtjai.com). By ticking the box below, I/we signify my/our consent for GTJA to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement. I/We further agree to any revision or amendment that GTJA may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us. 本人/吾等確認已閱讀及明白國泰君安證券(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及國泰君安資產管理(亞洲)有限公司(各稱或合稱「國泰君安」)之個人資料收集聲明之內容，該聲明已提供給本人/吾等並在國泰君安的網站(www.gtjai.com)上發佈。在下列方格加上剔號，表示本人/吾等同意國泰君安按照個人資料收集聲明之條款及目的使用本人/吾等的個人資料。本人/吾等亦同意國泰君安可在通知本人/吾等的情况下不時修改個人資料收集聲明之內容。

I/We agree to GTJA's use of my/our personal data for the purposes set out in the Personal Information Collection Statement. I/We further agree to any revision or amendment that GTJA may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us. 本人/吾等同意國泰君安按照個人資料收集聲明之目的使用本人/吾等的個人資料。本人/吾等亦同意國泰君安可在通知本人/吾等的情况下不時修改個人資料收集聲明之內容。

I/We agree to GTJA's use of my/our sensitive personal data for the purposes set out in the Personal Information Collection Statement. I/We further agree to any revision or amendment that GTJA may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us. 本人/吾等同意國泰君安按照個人資料收集聲明之目的使用本人/吾等的敏感個人資料。本人/吾等亦同意國泰君安可在通知本人/吾等的情况下不時修改個人資料收集聲明之內容。

I/We agree to GTJA's cross-border transfer of my/our personal data for the purposes set out in the Personal Information Collection Statement. I/We further agree to any revision or amendment that GTJA may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us. 本人/吾等同意國泰君安按照個人資料收集聲明之目的將本人/吾等個人資料跨境轉移。本人/吾等亦同意國泰君安可在通知本人/吾等的情况下不時修改個人資料收集聲明之內容。

##### Direct Marketing 直接促銷

I/We confirm my/our consent as referred to in the sections entitled Use of Personal Data in Direct Marketing and Provision of Personal Data

for Use in Direct Marketing of the Personal Information Collection Statement, subject to any objection as indicated by me/us below: 除本人/吾等如下所示提出之任何反對外，本人/吾等確認同意個人資料收集聲明內以個人資料在直接促銷中的使用及提供個人資料作直接促銷為標題之內容：

- I/We object to GTJA using my/our personal data in direct marketing as referred to in the section entitled Use of Personal Data in Direct Marketing of the Personal Information Collection Statement. 本人/吾等反對國泰君安按個人資料收集聲明內以個人資料在直接促銷中的使用為標題的分段所述，將本人/吾等之個人資料作直接促銷用途。
- I/We object to GTJA providing my/our personal data to GTJA Group (other than GTJA) for use in direct marketing as referred to in the section entitled Provision of Personal Data for Use in Direct Marketing of the Personal Information Collection Statement. 本人/吾等反對國泰君安按個人資料收集聲明內以提供個人資料作直接促銷為標題的分段所述，向國泰君安集團(不包括國泰君安本公司)提供本人/吾等之個人資料作直接促銷用途。

The above represents my/our present choice of whether or not to receive direct marketing contact or information. This shall replace any choice I/we may have given to GTJA previously.

以上乃本人/吾等對是否收取直接促銷之聯系或資料之選擇。這會取代本人/吾等過往作出之選擇。

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

I/We hereby declare that I/we am/are the only party who has the ultimate interests in the Account and the information given in this form is true and correct and that I/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 my/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 my/our application.

本人/吾等謹此聲明本人/吾等為帳戶的最終實益擁有人，表格上提供之所有資料均為真實及正確，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/吾等明白本人/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帳戶予本人/吾等，並清楚閣下保留拒絕本人/吾等開戶申請之權力。

I/We request you to open a Securities Trading/ Derivatives Trading/ Foreign Exchange Trading/ Stock Options Trading Account ("the Account") and agree to abide by the rules and regulations of the Hong Kong Securities and Futures Commission ("SFC")/ The Stock Exchange of Hong Kong Limited ("SEHK")/ The Hong Kong Futures Exchange Limited ("HKFE") or any other regulatory body(ies) as amended from time to time governing of the above transactions.

本人/吾等向閣下申請開立證券交易/衍生工具交易/外匯交易/股票期權交易帳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進行上述交易之條例及規則。

(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為，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。

Declaration regarding tax compliance (please tick all the boxes that apply) 有關稅務合規之聲明(請在所有適當的空格加✓)

1. I/We hereby confirm and declare that, to the best of my knowledge, I/we have not committed or been convicted of tax crimes or tax evasion cases in any country/jurisdiction.

本人/吾等在此確認並聲明就本人/吾等所知所信，本人/吾等未曾作出避稅或稅務罪行等行為，並未曾就有關罪行在任何國家/司法管轄區被定罪。

2. I/We hereby confirm and declare that I/we am/are currently under tax investigation or tax audit in the below country(ies)/jurisdiction(s):

本人/吾等在此確認並聲明，本人/吾等目前正在以下國家/司法管轄區接受稅務調查或稅務審計：

Name(s) of country(ies)/jurisdiction(s): 國家/司法管轄區: \_\_\_\_\_

3. I/We hereby confirm and declare that I/we have committed or convicted of tax crimes or tax evasion cases in the below jurisdictions:

本人/吾等在此確認並聲明，本人/吾等曾作出避稅或稅務罪行等行為，或曾就有關罪行在任何國家/司法管轄區被定罪。

Name(s) of country(ies)/jurisdiction(s): 國家/司法管轄區: \_\_\_\_\_

Relevant Year(s) to which such tax crimes/evasion was committed/convicted: \_\_\_\_\_

稅務/逃稅犯罪/定罪年期: \_\_\_\_\_

4. I/We would like to provide additional information regarding my/our tax compliance:

本人/吾等欲提供關於本人/吾等的稅務合規的其他信息: \_\_\_\_\_

**Declaration for Automatic Exchange of Financial Account Information 有關自動交換金融帳戶信息協議之聲明**

I/We acknowledge that the information contained in this form and information regarding the account holder may be reported to any local or foreign governmental, regulatory or tax authorities or bodies (including but not limited to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region of the People's Republic of China and the U.S. Internal Revenue Service), and to any other local foreign persons or entities required or directed by applicable laws, regulations, practices or guidelines (including but not limited to the Hong Kong Inland Revenue Ordinance, any local implementation of the OECD Standard for Automatic Exchange of Financial Information in Tax Matters/Common Reporting Standard, the U.S. Foreign Account Tax Compliance Act (FATCA) and local implementation hereof, and any similar tax information sharing regime put in place in Hong Kong or any other relevant jurisdiction) or deemed necessary by Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited; and stored, used and disclosed by Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited so that it can comply with obligations, commitments, arrangement or market

practices in relation to providing services to me.

本人/吾等明白既承認此聲明書及有關本人及須申報賬戶的任何資料可向任何本地或海外政府、監管或稅務機關或機構(包括但不限於中華人民共和國香港特別行政區政府稅務局及美國國稅局)提供，以及向適用法例、法規、慣例或指引(包括但不限於香港稅務條例、任何在本地實施的 OECD「經濟合作與發展組織稅務金融訊息自動交換標準/通用報告準則」、美國《外國賬戶稅收合規法案》及在香港或任何其他相關司法管轄地已落實的同類稅務資訊共用制度)所規定或指示或國泰君安證券(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及/或國泰君安資產管理(亞洲)有限公司認為必要的任何其他本地或海外人士或單位提供；及可由國泰君安證券(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及/或國泰君安資產管理(亞洲)有限公司存儲、使用及披露，以便其遵從有關向本人提供服務的義務、承諾、安排或市場慣例。

I/We undertake to advise Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited of on any change in circumstances which affects the tax residency status of the individual identified or cause the information contained herein to become incorrect, and to provide Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited with a suitably updated Self-Certification form within 30 calendar days of such change in circumstances.

本人/吾等承諾如以上聲明有任何情況改變，而影響識別個人的稅務收居民身份有任何變化或導致此自我聲明之內容及陳述變得不正確的信息時，將通知國泰君安證券(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及/或國泰君安資產管理(亞洲)有限公司，並於情況改變發生的三十日內向國泰君安證券(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及/或國泰君安資產管理(亞洲)有限公司重新提供正確的自我聲明書。

I/We have carefully read and understood the English or Chinese contents of the Client Agreement for  Securities Trading  Stock Options Trading (except US stock options trading)  Derivatives Trading  Foreign Exchange Trading  US Securities Trading (Segregated Account) Services, including the Risk Disclosure Statement (each an "Agreement") and that the contents of each Agreement have been provided and fully explained to me/us in a language which I/we understand. 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/吾等已仔細審閱並理解  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  外匯交易  美國證券交易(獨立帳戶)服務  南向通服務條款及細則 客戶協議書(包括風險披露聲明) (“協議”)的全部內容，且協議及其內容已以本人/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。

(僅適用於開通跨境理財通 - 南向通服務:) 本人知曉與「南向通」服務有關的風險(包括南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南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、南向通投資專戶之使用、投資者責任、所涉及的風險、向相關監管機構披露的訊息，以及發現投資者有違規情況時的處理等。

I/We acknowledge that I/we have been invited to ask questions about the relevant laws and regulations, 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/吾等被邀請就有關法律法規、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/吾等有能力和願意履行此協議規定的責任和義務。

**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

**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(s).  
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

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

Witness' Qualification 見證人職位

Location of Mainland GTJA branches (if applicable)  
國泰君安國內諮詢中心/代表處地區 (如適用)

Date 日期

**Securities and/or Stock Options 證券及/或股票期權帳戶**  
**SIGNED and DECLARED by Licensed Representative** who has provided and explained to the Client the following client agreement(s):

- Client Agreement for Securities Trading
- Client Agreement for Stock Options Trading
- Client Agreement for US Securities Trading (Segregated Account) Services

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.

向客戶提供並解釋下列客戶協議書：

- 證券交易客戶協議書
- 股票期權交易客戶協議書
- 美國證券交易(獨立帳戶)服務客戶協議書
- 南向通服務條款及細則

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，及如客戶有此意願徵求獨立的意見的持牌代表簽署

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 期貨帳戶**

**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.

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，及如客戶有此意願徵求獨立的意見的持牌代表簽署

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 外匯帳戶**

**SIGNED and DECLARED by Licensed Representative** who has provided and explained to the Client the Client Agreement for Foreign Exchange 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 and to ask questions and take independent advice if Client wish

向客戶提供並解釋此外匯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，及如客戶有此意願徵求獨立的意見的持牌代表簽署

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。

- (1) I have known the Client for 認識客戶年期： <1 Year 少於一年     1 to 5 Years 一至五年     >5 Years 多於五年
- (2) Mode of Introduction 介紹模式： Walk-in 客戶自薦     Client Referral 由其他客戶引薦 (Client No.推薦人帳號：\_\_\_\_\_)
- Others 其他：\_\_\_\_\_

\_\_\_\_\_  
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



APPENDIX A – List of Industries no. 1 - 33 附錄甲 – 行業列表項目 1- 33 (updated in August 2022)		
1. Beauty/Healthcare Services 美容/保健服務	2. Business Services 商業服務	3. Cash Intensive Business (e.g. Restaurant, Retail Store, etc) 現金密集型企業 (例如:餐廳、零售店等)
4. Casino and Gambling Related Business 賭場及其他與賭博相關的業務	5. Construction & Engineering 建築及工程	6. Dealers in Art, Antique or Auction houses 藝術、古董經銷商或拍賣行
7. Dealers in Car, Boat or Plane 汽車、船舶或飛機經銷商	8. Dealers in Jewel, Gem or Precious Metal 珠寶、寶石或貴金屬經銷商	9. Embassies 大使館
10. Entertainment 娛樂場所	11. Finance 金融	12. Insurance 保險
13. Legal 法律行業	14. Licensed non-Government Organization 經許可非政府組織	15. Logistics 物流業
16. Manufacturer of Ammunition and Weapon 彈藥及武器製造商	17. Manufacturing 製造業	18. Mining/Trading in Precious Metals, Oil or Natural Gas 貴金屬、石油或天然氣開採或貿易商
19. Money Services Business (e.g. Money Exchange, Money Remitters, Check Cashers) 貨幣服務提供商 (例如: 貨幣兌換、匯款或支票兌現)	20. Offshore Banks Located in Tax /Banking Havens 位於稅務/銀行避風港的離岸銀行	21. Pawnshop 當舖
22. Professionals (e.g. Solicitors, Accountants, etc) 專業人士 (例如: 律師、會計師)	23. Public Services 公共服務	24. Real Estate 房地產
25. Startups and Fintech 初創及金融科技	26. Telecommunications 通訊業	27. Transportation 運輸業
28. Travel and Tourism 旅遊業	29. Utilities 公用事業	30. Virtual Currency 虛擬貨幣
31. Wholesale/Export/Import 批發/進出口	32. Investment holdings 投資控股	33. Others: Please state 其他: 請說明

## APPENDIX B 附錄乙

<b>INHERITANCE/GIFT INFORMATION (PLEASE COPY THIS PAGE TO COMPLETE IF MORE THAN 1 PERSON)</b> <b>遺產/贈物資料 (如多於 1 人, 請複印此頁填寫)</b> <i>(Please tick the appropriate box. 請在適當空格加✓)</i>			
<input type="checkbox"/> INHERITANCE BENEFACTOR 遺贈人		<input type="checkbox"/> GIFT DONOR 饋贈人	
<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Ms. 女士 <input type="checkbox"/> 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:			
<input type="checkbox"/> Cash 現金及儲蓄 <input type="checkbox"/> Properties 物業		<input type="checkbox"/> Securities 證券 <input type="checkbox"/> Others 其他: _____	
Value(HKD): 價值(港幣):			