

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

Update of Client's Information (Corporate) 客戶資料更新表格 (公司帳戶)

To:

- ☐ Guotai Junan Securities (Hong Kong) Limited
☐ Guotai Junan Futures (Hong Kong) Limited
☐ Guotai Junan FX Limited
☐ Guotai Junan Assets (Asia) Limited

致:

- ☐ 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
☐ 國泰君安資產管理(亞洲)有限公司

Account Name 帳戶名稱	
Account Number 帳戶號碼	

1. Please fill out those sections of the form which your company has not provided before or if the relevant information which you previously provided to us has changed, that you have to inform us of the change(s). Also we shall assume there is no change of your relevant information which your company have not provided in the form.

如貴公司從未向本公司就此表格相關部份提供資料或有關資料已更改而需要通知本公司，請填妥此表格相關部份。

另外，如在表格上並未有提供資料，貴公司的現有有關資料會被視為並無更改。

2. Please note update of customer profile information will be applied to all of your accounts maintained with Guotai Junan Group.

請注意，客戶資料之更改將適用於閣下於國泰君安集團開立之所有帳戶。

(I) CHANGE OF CUSTOMER PROFILE INFORMATION 更改客戶資料 (Please tick the appropriate box 請勾選適當空格)

<input type="checkbox"/> Change of Company Name 更改公司名稱
New Company Name 新公司名稱

請提供經簽名驗證的更改公司名稱通知書複印本 Please provide the certified true copy of Notice of Change of Company Name or similar.

☐ Change of Director 董事變更# (please copy this page to complete if more than 4 persons and sign on the supplementary page 如多於4人，請複印此頁填寫，並在附加頁上簽署)

	Name 姓名	Date of Birth 出生日期	ID Card/Passport No. 身份證/護照號碼△	Nationality 國籍
(1)			<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照 _____	
(2)			<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照 _____	
(3)			<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照 _____	
(4)			<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照 _____	



<input type="checkbox"/> Change of Shareholder / Ultimate Beneficial Owner 股東/最終實益擁有人變更# Please complete below information for Ultimate Beneficial Owner (please copy this page to complete if more than 1 person and sign on the supplementary page) 請完成填寫以下最終實益擁有人資料(如多於 1 人，請複印此頁填寫，並在附加頁上簽署)				
<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:	
	ID Card No.: 身份證號碼:	Place of Issue of ID Card: 身份證發出地:	Passport 護照號碼:	Place of Issue of Passport: 護照發出地:
Former Name: 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: 電子郵件地址:				
Shareholding 所佔股權(%):			Control 所佔控制權(%):	
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				
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)				
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 (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: _____			
Net Worth(HK\$) 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: _____			
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: _____			

Please provide Board Minutes, the certified true copy of Latest Annual Return, Notification of Change OR Register of Directors and Shareholders.

請提供經簽名驗證的最近期之公司註冊處週年申報表、資料更改通知及董事及股東名冊複印本

△ Please provide the certified true copy of Passports or identity cards of Shareholders/Beneficial Owners, Directors, Authorized Traders and/or Authorized Signatories. 請提供經簽名驗證的股東/實益擁有人、董事、授權交易員及/或授權簽署人之護照或身份證複印本

<input type="checkbox"/> Change of Correspondence Address 更改通訊地址	
New Correspondence Address 新通訊地址	
<input type="checkbox"/> Change of Business Address 更改商業地址 Please provide the original or copy of statements which was issued within the latest 1 year as address proof. 請提供最近1年內發出的結單正本或複印本作地址證明。	
New Business Address 新商業地址	

<input type="checkbox"/> Change of Tax Residency 更改稅務居民所在國家/司法管轄	New Tax Residency 新稅務居民所在國家/司法管轄:
請填寫及簽署通用報告準則 (CRS) 自我聲明書及(或) 個人<<海外帳戶稅收合規法案>>自行認證。 Please provide the Common Reporting Standards (CRS) Self-Certification Form and (or) Individual FATCA Self-Certification.	

<input type="checkbox"/> Change of Telephone Number 更改電話	
(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	()

<input type="checkbox"/> Change of OTP setting 更改“一次性驗證碼”設置	
Mobile Phone No. for OTP 獲取“一次性驗證碼”手提電話號碼	()

* Please delete as inappropriate 請刪去不適用者

<input type="checkbox"/> Change of mailing method (please select either one) 更改通訊方式 (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 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)	

<input type="checkbox"/> Update email address 更新電郵地址	
New Email address 新電郵地址	

<input type="checkbox"/> Subscribe / Unsubscribe* research reports sent by email 選擇 / 拒絕* 以電郵收取研究報告
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<input type="checkbox"/> Update 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)	
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<input type="checkbox"/> Financial Profile 財務狀況			
Annual Revenue (HK\$) 全年營業額(港幣)	<input type="checkbox"/> <= \$500,000 <input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> > \$100,000,000, please specific 須註明:	<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
Annual Net Profit (HK\$) 全年淨利潤(港幣)	<input type="checkbox"/> <= \$500,000 <input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> > \$100,000,000, please specific 須註明:	<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
Total Assets (HK\$): 總資產(港幣):	<input type="checkbox"/> <= \$1,000,000 <input type="checkbox"/> \$10,000,001-\$50,000,000 <input type="checkbox"/> > \$500,000,000, please specific 須註明:	<input type="checkbox"/> \$1,000,001-\$5,000,000 <input type="checkbox"/> \$50,000,001-\$100,000,000	<input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> \$100,000,001-\$500,000,000
Source of Wealth 財富來源	<input type="checkbox"/> Business Income 營業收入 <input type="checkbox"/> Return of Investments 投資回報	<input type="checkbox"/> Sale of Property/Assets 出售物業/資產 <input type="checkbox"/> Others :其他 _____	
Source of Funds 資金來源	<input type="checkbox"/> Business Income 營業收入 <input type="checkbox"/> Return on Investments 投資回報	<input type="checkbox"/> Sale of Property/Assets 出售物業/資產 <input type="checkbox"/> Others :其他 _____	

<input type="checkbox"/> 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			Futures & Options 期貨及期權		
Bonds 債券			Forex 外匯		
Funds 基金			Structured Products 結構性產品		

<input type="checkbox"/> Other Disclosures 其他資料披露
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帳戶? <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有 (If yes, please specify 如有，請註明帳號: _____)
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%以上的股權? <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有 (If yes, please specify 如有，請註明帳號: _____)
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)? 貴公司是否作為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)處理帳戶? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 (If yes, full KYC information and Identity documents of 3 rd party are required. 如是，需提供第3方之詳細資料及身份證明文件。)
<input type="checkbox"/> Update of knowledge of derivatives 更新衍生產品的認識 (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

(II) CHANGE OF TRADING INFORMATION 更改交易資料 (Please tick the appropriate box 請勾選適當空格)

* Please delete as inappropriate 請刪去不適用者

Internet Trading Function 網上交易服務: ☐ Request 增加 ☐ Cancel 取消

Register of Mobile Phone No. for OTP is required for Internet Trading Function

如增加網上交易服務，必需登記手提電話號碼以獲取“一次性驗證碼”

☐ Add first / Cancel / Change of * Personal Identification Number (“PIN”)

首增 / 取消 / 更改* 私人密碼 (“PIN”)

☐ Request/ Cancel* Non-HK Market Trading Function 開通 / 取消* 香港以外的其他交易市場

☐ Australian shares 澳洲股票

☐ B shares 中國 B 股

☐ Bonds 債券

☐ Canadian shares 加拿大股票^(a)

☐ 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

☐ UK shares 英國股票

☐ US futures ^(b) 美國期貨

☐ US shares ^(b) 美國股票

☐ Swiss shares 瑞士股票

☐ Shenzhen - Hong Kong Stock Connect 深 港 通
(Not applicable to Mainland Investors 不適用於國內投資者)

☐ Shanghai - Hong Kong Stock Connect 滬 港 通
(Not applicable to Mainland Investors 不適用於國內投資者)

☐ Structured product 結構性產品(Applicable to Professional Investors only 只適用於專業投資者)

☐ Bond Direct ^(b) 線上債券

Reason for Cancellation 取消原因

Please complete and return (a) Canadian Market Data Agreement and NR Form or (b) W-8BEN/ W-8BEN-E/W9/W8-IMY.

請填寫並交回表格(a) 加拿大市場數據協議書及 NR Form 或 (b) W-8BEN/W-8BEN-E/W9/W8-IMY

☐ Change of other information 更改其他資料:

Declaration & Signature 聲明及簽署

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. 吾等謹此聲明表格上提供之所有資料均為真實及正確，吾等並未刻意隱瞞任何重要事實。除上述提供的資料外，吾等清楚貴司會要求吾等提供更多相關的資料或證明文件。

Client Signature 客戶簽署

Date 日期

For GTJA Use Only	Signature Verified	Inputted	Reviewed
Signature:			
Date:			

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

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 the appropriate box. 請在適當空格加✓)			
<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"/> Securities 證券 <input type="checkbox"/> Properties 物業 <input type="checkbox"/> Others 其他: _____			
Value(HKD): 價值(港幣):			