国泰海通 GUOTAI HAITONG

DECLARATION FOR CHINESE MAINLAND INVESTORS* REGARDING TRADING ACCOUNT OPENING
有關中國內地投資者*交易賬戶開立之聲明

(Applicable to Chinese Mainland investors opening trading accounts with 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, "GTJAI"))
（僅適用於向國泰君安證券（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國泰君安資產管理（亞洲）有限公司（各稱或合稱「國泰君安國際」）申請開立交易賬戶之中國內地投資者）

I/We hereby declares I/we have read, understood and agreed to the below declaration and terms:
本人／吾等謹此聲明本人／吾等已閱讀、明白及同意下列聲明及條款：

1. I/We confirm that all funds used to support my/our investment activities and related settlements in my/our trading account(s) in GTJAI are derived from lawful sources outside of the Chinese Mainland, unless exception from above requirement are otherwise permitted under applicable laws and regulations of the Chinese Mainland for specific type of trading account(s)
本人／吾等確認，所有用以支持本人／吾等於國泰君安國際交易賬戶之投資活動及相關結算的資金均來自中國內地以外的合法來源，除非屬中國內地適用法律及法規另行允許，不受上述要求所限的特定類型交易賬戶。

2. I/We confirm that I/we do not have any account that was previously closed or suspended by any Licensed Corporation(s) or bank(s) due to the use of questionable or forged documents.
本人／吾等確認，本人／吾等並無任何因曾使用可疑或偽造文件而遭任何持牌法團或銀行關閉或暫停的賬戶。

3. I/We undertake to notify GTJAI within 7 Hong Kong business days of any change to the information provided in this declaration.
本人／吾等承諾，如本聲明所提供的資料有任何更改，將於七個香港營業日內通知國泰君安國際。

4. I/We understand and confirm that, upon requests from law enforcement agencies or regulatory authorities, GTJAI may disclose my/our personal data and other relevant information.
本人／吾等明白並確認，國泰君安國際可能會因應執法機構或監管機構的要求，披露本人／吾等的個人資料及其他相關資料。

5. I/We warrant and confirm that, I/we will use bank accounts held in my/our own name with banks licensed in Hong Kong or supervised by banking regulators in eligible jurisdictions^ for settlement purposes, and ensure that all future deposits and withdrawals for the trading account(s) in GTJAI will be conducted exclusively through these bank accounts, unless exception from above requirement are otherwise permitted under applicable laws and regulations of the Chinese Mainland for specific type of trading account(s).
本人／吾等保證及確認本人將使用以本人／吾等名義開立、並於香港持牌銀行或合資格司法管轄區^受銀行業監管機構監管的銀行持有之銀行賬戶作結算用途，並確保此後就有關國泰君安國際交易賬戶進行的所有存款及提款，只會通過該等銀行賬戶進行，除非屬中國內地適用法律及法規另行允許，不受上述要求所限的特定類型交易賬戶。

6. I/We agree and acknowledge that, GTJAI may, in addition to other measures, close my/our trading account(s) if my/our funding sources are subsequently found to be unlawful or in violation of any capital control regulations of the Chinese Mainland.
本人／吾等同意並知悉，如本人／吾等之資金來源其後被發現屬不合法或違反中國內地任何資本管制法規，國泰君安國際可在採取其他措施之外，關閉本人／吾等之交易賬戶。

Remarks 備注

* "Chinese Mainland Investors" refers to an individual who uses either or both a resident identity card and a passport issued by the People's Republic of China as an identification document according to a Licensed Corporation's records or when opening an investment account.
"中國內地投資者"指根據持牌法團的紀錄或在開立投資賬戶時，使用中華人民共和國簽發的居民身份證及／或護照作為身分證明文件的個人投資者。

^ The list of "Eligible Jurisdictions" can be accessed on the SFC's webpage under "Acceptable account opening approaches"
(https://www.sfc.hk/en/Rules-and-standards/Account-opening/List-of-eligible-jurisdictions-for-remote-onboarding-of-overseas-individual-clients)
"合資格司法管轄區" 名單可於證監會網頁"可接受的開立賬戶方式"項下查閱。
(https://www.sfc.hk/TC/Rules-and-standards/Account-opening/List-of-eligible-jurisdictions-for-remote-onboarding-of-overseas-individual-clients)

If an application is made to open a joint trading account, each joint account holder should read this declaration form separately.
如申請開立聯名交易賬戶，每位聯名賬戶持有人應各自閱讀本聲明書。

国泰海通
GUOTAI HAITONG

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)

_____
Account Number (if applicable) 賬戶號碼 (如適用)

_____
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)

_____
Account Number (if applicable) 賬戶號碼 (如適用)

_____
Date 日期