國泰君安國際
GUOTAI JUNAN INTERNATIONAL

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

Client Code:_____	**AE Code :**_____
Related Account:_____	
Check by:_____	**Date:**_____
Approved by RO-Sec_____	**Date:**_____
Approved by RO-Fut:_____	**Date:**_____
Approved by RO-FX:_____	**Date:**_____

開戶申請表格(公司帳戶)
請提供:
1. 經簽名驗證之複印本:-
   (a) 授權簽署人、授權交易員、董事及擁有不少於 10%的股本的股東/實益擁有人之護照或身份證;
   (b) 公司查冊報告 (適用於本地註冊的公司，在過去 6 個月內簽發);
   (c) 現任職位證明書 (適用於海外註冊的公司，在過去 6 個月內簽發);
   (d) 公司註冊證明書;
   (e) 商業登記證 (如適用);
   (f) 組織章程大綱及章程細則;
   (g) 業務地址證明 (如與註冊地址不同);
   (h) 個人股東/實益擁有人之住址證明（最近 3 個月內）;
   (i) 董事聲明有關擁有權的圖表 (如適用);及
   (j) 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
2. 交收指示 (如適用)
3. 財務報表 / 個人擔保書 (所有擔保人之護照或身份證副本，如適用)
4. 投資產品 - 風險承受能力問卷 (公司客戶)
5. 申請及終止交易平台(適用於開設期貨帳戶)
6. 常設授權(適用於開設期貨/外匯帳戶)

ACCOUNT OPENING FORM (CORPORATE ACCOUNT)
Please provide:
1. Certified true copies of:-
   (a) Passports or identity cards of Authorized Signatories, Authorized Traders, Directors and Shareholders/Beneficial Owners holding no less than 10% of shareholdings;
   (b) Company Search Report (for locally incorp. & issued within last 6 months);
   (c) Certificate of Incumbency (for overseas incorp. & issued within last 6 months);
   (d) Certificate of Incorporation;
   (e) Business Registration Certificate (if applicable);
   (f) Memorandum & Articles of Association;
   (g) Address proof of Business Address (if different from Registered Address);
   (h) Address proof of Individual Shareholders / Beneficial Owners (within 3 months);
   (i) Director's Declaration on Ownership Chart (if applicable); and
   (j) Latest Annual Return, Notification of Change and Register of Directors and Shareholders.
2. Settlement Instructions (if applicable)
3. Financial Statements / Personal Guarantee (copy of passport/identity card of all guarantors, if applicable)
4. Client Risk Profiling Questionnaire – Investment Products (for Corporate Account)
5. Trading Platform Application and Termination (Applicable for Futures account opening)
6. Standing Authority (Applicable for Futures/FX account opening)

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。

Part A: Customer Particulars 客戶資料

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

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

☐ Custodian 托管帳戶 ☐ 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，Mobile Phone No. for OTP 獲取「一次性驗證碼」手提電話號碼: (____)_____

☐ Yes 是，E-mail Address for OTP 獲取「一次性驗證碼」電郵地址:_____

☐ No 否

Do you require trading in non-HK securities? 您是否需要開通港股以外的其他證券交易? ☐ Yes 是 ☐ No 否

Please specify 請述明: ☑ Shanghai-Hong Kong Stock Connect 滬港通 ☑ Shenzhen-Hong Kong Stock Connect 深港通

☐Australian shares 澳洲股票	☐B shares 中國 B 股	☐Bonds 債券	☐Canadian shares 加拿大股票
☐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
☐US shares 美國股票	☐UK shares 英國股票	☐Structured product 結構性產品(Applicable to Professional Investors only 只適用於專業投資者)	

☐ **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，Mobile Phone No. for OTP 獲取「一次性驗證碼」手提電話號碼: (____)_____

☐ Yes 是，E-mail Address for OTP 獲取「一次性驗證碼」電郵地址:_____

☐ 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? 您是否需要開通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，Mobile Phone No. for OTP 獲取「一次性驗證碼」手提電話號碼：(_____)_____

☐ Yes 是，Email Address for OTP 獲取「一次性驗證碼」電郵地址：_____

☐ No 否

國泰君安國際
GUOTAI JUNAN INTERNATIONAL

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
- ☐ Limited Company 有限公司
- ☐ Partnerships and Unincorporated bodies 合夥及非法團團體
- ☐ Fund/Asset Management 基金/資產管理
- ☐ Local Government Financing Vehicles (LGFV)地方融資平台
- ☐ Listed Company 上市公司 Stock Code 股票代號：_____
- ☐ 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)：_____

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:

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 Post to Correspondence Address 郵寄至通訊地址* ☐ E-mail address 電郵地址

* 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)

Business Registration No.: 商業登記號碼:	Certificate of Incorporation No.: 公司註冊號碼:	Legal Entity Identifier (if any): 全球法人機構識別編碼 (如有):

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: ( )

Nature of Business (please select either one) 業務性質(只選一項):

- ☐ Beauty/Healthcare Services 美容/保健服務
- ☐ Business Services 商業服務
- ☐ Cash Intensive Business (e.g. Restaurant, Retail Store, etc) 現金密集型企業（例如:餐廳、零售店等）
- ☐ Casino and Gambling Related Business 賭場及其他與賭博相關的業務
- ☐ Construction & Engineering 建築及工程
- ☐ Dealers in Art, Antique or Auction houses 藝術、古董經銷商或拍賣行
- ☐ Dealers in Car, Boat or Plane 汽車、船舶或飛機經銷商
- ☐ Dealers in Jewel, Gem or Precious Metal 珠寶，寶石或貴金屬經銷商
- ☐ Embassies 大使館
- ☐ Entertainment 娛樂場所
- ☐ Finance 金融
- ☐ Insurance 保險
- ☐ Legal 法律行業
- ☐ Licensed non-Government Organization 經許可非政府組織
- ☐ Logistics 物流業
- ☐ Manufacturer of Ammunition and Weapons 彈藥及武器製造商
- ☐ Manufacturing 製造業
- ☐ Mining/Trading in Precious Metals, Oil or Natural Gas 貴金屬、石油或天然氣開採或貿易商

☐ Money Services Business (e.g. Money Exchange, Money Remitters, Check Cashers) 貨幣服务提供商（例如: 貨幣兌換、匯款或支票兌現）	☐ Offshore Banks Located in Tax/Banking Havens 位於稅務/銀行避風港的離岸銀行
☐ Professionals (e.g. Solicitors, Accountants, etc) 專業人士 (例如：律師、會計師）	☐ Public Services 公共服務
☐ Real Estate 房地產	☐ Startups and Fintech 初創及金融科技
☐ Telecommunications 通訊業	☐ Transportation 運輸業
☐ Travel and Tourism 旅遊業	☐ Utilities 公用事業
☐ Virtual Currency Exchanges 虛擬貨幣兌換	☐ Wholesale/Export/Import 批發/進出口

☐ Other (please state) 其他(請註明): _____

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

1 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。
2 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。
3 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。
4 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

國泰君安國際
GUOTAI JUNAN INTERNATIONAL

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✓)

Have you ever attended any courses or seminars on derivative product(s)?
您曾否接受有關衍生產品的培訓或相關課程? ☐ Yes 是 ☐ No 不是

Has any of your current work experience been related to derivative product(s)?
您現時的工作經驗是否與衍生產品有關? ☐ Yes 是 ☐ No 不是

Has any of your previous work experience ever been related to derivative product(s)?
您以往的工作經驗是否與衍生產品有關? ☐ Yes 是 ☐ No 不是
Name of employer 僱主名稱: _____
Relevant employment period 在職日期: _____

Do you ever have any trading experience in derivative product(s)?
您以往曾否有買賣衍生產品的經驗? ☐ Yes 是 ☐ No 不是
Please state the derivative product(s) you traded:
請提供您以往有買賣的衍生產品:
☐ Callable Bull/Bear Contracts (CBBC) 牛熊證
☐ Derivative Warrants 衍生認股證
☐ Equity Linked Instruments / Notes (ELI/ELN) 股票掛鈎產品
☐ Futures and Options 期貨或期權合約交易
☐ Stock Options 股票期權
☐ Others 其他: _____

Have you executed five or more transactions in derivative products within the past three years?
您曾否在以往三年內執行過五宗或以上結構性或衍生產品交易? ☐ Yes 是 ☐ No 不是

5 DIRECTOR INFORMATION 董事資料 *(Please tick appropriate box. 請在適當空格加✓)*

	Name 姓名	Residential Address 住宅地址	Date of Birth 出生日期	ID Card/Passport No. 身份證/護照號碼	Nationality 國籍	Contact Tel. No. 聯絡電話號碼
(1)				☐ ID Card 身份證 ☐ Passport 護照		
(2)				☐ ID Card 身份證 ☐ Passport 護照		
(3)				☐ ID Card 身份證 ☐ Passport 護照		
(4)				☐ ID Card 身份證 ☐ Passport 護照		
(5)				☐ ID Card 身份證 ☐ Passport 護照		

國泰君安國際
GUOTAI JUNAN INTERNATIONAL

6	**ULTIMATE BENEFICIAL OWNER IS LISTED COMPANY/LICENSED INSTITUTION/STATE OWNED ENTERPRISE (IF APPLICABLE)** **最終實益擁有人為上市公司/持牌機構/國有企業（如適用）**
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：_____ Stock Code 股票代號：_____ ☐ Licensed Institution 持牌機構：Name of Regulator 監管機構：_____ 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：_____ Stock Code 股票代號：_____ ☐ Licensed Institution 持牌機構：Name of Regulator 監管機構：_____ 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：_____ Stock Code 股票代號：_____ ☐ Licensed Institution 持牌機構：Name of Regulator 監管機構：_____ License No. 牌照號碼：_____ Shareholding 所佔股權 (%) _____

7 EXTRACT OF DECISIONS 決議摘錄

Extract of Decisions 決議摘錄

Extract of Resolutions of Board of Directors / Others* (please state): _____

of _____ ("Applicant").

_____ (「申請人」)之

董事會決議 / 決定備忘 / 合伙人會議決議 / 其他* (請註明) _____

It was unanimously resolved by the applicant that:
申請人一致作出下列決議 / 決定：

1. One or more accounts ("Accounts") to be opened with Guotai Junan Securities (Hong Kong) Limited ("GTJAS") / Guotai Junan Futures (Hong Kong) Limited ("GTJAF") / Guotai Junan FX Limited ("GTJAFX")*

   分別於國泰君安證券(香港)有限公司("GTJAS") / 國泰君安期貨(香港)有限公司 ("GTJAF") / 國泰君安外匯有限公司（"GTJAFX"）* 開立一個或多個帳戶。

2. The undersigned individuals are authorized to sign singly / jointly in any combination* on the Client Agreement for Securities Trading / Derivatives Trading / FX Trading* and Account Opening Form for and on behalf of the Applicant and to affix the Company chop where necessary;

   以下授權人士個人 / 以任何形式共同* 簽署均可代表申請人在證券交易 / 衍生工具交易 / 外匯交易* 客戶協議書及開戶申請表格上簽名，必要時在表格上蓋章：

Name (Chinese and English) 姓名 (中文及英文)	Date of Birth 出生日期	Passport / ID Card No. 護照 / 身份證號碼	Nationality 國籍	Contact Tel. No. 聯絡電話號碼	Specimen Signatures 簽名樣式
Specimen of Company Chop 公司印章樣式 (if applicable 如適用)					

3 The undersigned individuals are authorized to give trading instructions, whether orally or in writing, on behalf of the Applicant in the Accounts; and

以下授權人士均代表申請人對帳戶以書面或口頭形式發出交易命令或指示，而授權人士之姓名、資料及簽名權式如下：

	Name (Chinese and English) 姓名 (中文及英文)	Date of Birth 出生日期	Passport / ID Card No. 護照 / 身份證號碼	Nationality 國籍	Contact Tel. No. 聯絡電話號碼	Specimen Signatures 簽名樣式
AT 1						

AT 2						
AT 3						
AT 4						

4. The undersigned individuals, acting singly / jointly in any combination*, Authorized to deposit / withdraw fund / shares to / from the account, give settlement instructions and any other instructions relating to the Accounts.

以下授權人士 個人 / 以任何形式共同* 簽署均可代表申請人對帳戶進行資金/股票存儲/提取，發出清算指令和其他有關帳戶的指令，而授權人士之姓名、資料及簽名樣式如下：

	Name (Chinese and English) 姓名 (中文及英文)	Date of Birth 出生日期	Passport / ID Card No. 護照 / 身份證號碼	Nationality 國籍	Contact Tel. No. 聯絡電話號碼	Specimen Signatures 簽名樣式
AS 1						
AS 2						
AS 3						
AS 4						

5. This extract is recorded in accordance with the applicable laws and constitutions of the Applicant, and purported to be signed byThe chairman/sole director of the meeting to evidence that (a) the meeting was duly held and convened; (b) all proceedings at the meeting were duly took place; and (c) all appointments at the meeting are valid.

本會議摘錄是按照相關法律及申請人之公司章程作紀錄，並將由該會議主席/唯一董事簽署予證實(a)該會議已妥為舉行及召開；(b)該會議上的所有議事程序均已妥為完成; 及(c)所有在該會議上作出的委任均為有效。

Signed by 簽署：

_____

Chairman / Sole Director*
由主席 / 唯一董事* 簽署

Name 姓名：_____

Date 日期：_____

(* Delete as appropriate 請刪去不適用者)

8 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: _____

9 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帳戶?
☐ No 沒有 ☐ 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?
☐ No 沒有 ☐ Yes 有 (If yes, please specify 如有，請註明帳號: _____)

Is your company or your directors, 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、其董事、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 (1) with a prominent public function or holding senior public office in any place (which shall include a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official); or (2) as a sub-national political figure in any place (which shall include but not limited to head of regional governments, regional government ministers or large city mayors)
政治人物包括 (1)在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); 或 (2)擔任地方政治人物(其中應包括但不限於地方政府、區域政府部長或大型城市市長)

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：
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?
☐ No 不是 ☐ Yes 是

10 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 the 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 ULTIMATLEY 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:	
	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:
Former Name[1]: 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: ☐ Single 單身 ☐ 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(%):
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.: (國家區號) 辦公室電話號碼: ( )	(Country Code) Fax No.: (國家區號) 傳真機號碼: ( )
Company E-mail Address: 公司電子郵件地址:	

Annual Income (HK$): 全年收入(港幣):	☐ <= $250,000	☐ $250,001-$500,000	☐ $500,001-$1,000,000
	☐ $1,000,001-$5,000,000	☐ $5,000,001-$10,000,000	
	☐ >$10,000,000, please specific 須註明 [2]:		
Net Worth (HK$) [4]: 淨資產(港幣):	☐ <=$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 specific 須註明 [3]:		
Source of Wealth 財富來源	☐ Salary / Business Income 薪俸/營業收入	☐ Savings 儲蓄	
	☐ Sale of Investments 投資回報	☐ Inheritance / Gift 遺產/贈物	
	☐ Retirement Funds 退休金	☐ Sale of Property / Assets 出售物業/資產	
	☐ Others 其他:_____		

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. 客戶須註明其人息數字如其收入超過$10,000,000。
3 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。
4 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

Nature of Business (please select either one) 業務性質(只選一項):

- ☐ Beauty/Healthcare Services 美容/保健服務
- ☐ Business Services 商業服務
- ☐ Cash Intensive Business (e.g. Restaurant, Retail Store, etc) 現金密集型企業（例如:餐廳、零售店等）
- ☐ Casino and Gambling Related Business 賭場及其他與賭博相關的業務
- ☐ Construction & Engineering 建築及工程
- ☐ Dealers in Art, Antique or Auction houses 藝術、古董經銷商或拍賣行
- ☐ Dealers in Car, Boat or Plane 汽車、船舶或飛機經銷商
- ☐ Dealers in Jewel, Gem or Precious Metal 珠寶，寶石或貴金屬經銷商
- ☐ Embassies 大使館
- ☐ Entertainment 娛樂場所
- ☐ Finance 金融
- ☐ Insurance 保險
- ☐ Legal 法律行業
- ☐ Licensed non-Government Organization 經許可非政府組織
- ☐ Logistics 物流業
- ☐ Manufacturer of Ammunition and Weapons 彈藥及武器製造商
- ☐ Manufacturing 製造業
- ☐ Mining/Trading in Precious Metals, Oil or Natural Gas 貴金屬、石油或天然氣開採或貿易商
- ☐ Money Services Business (e.g. Money Exchange, Money Remitters, Check Cashers) 貨幣服务提供商（例如: 貨幣兌換、匯款或支票兌現）
- ☐ Offshore Banks Located in Tax/Banking Havens 位於稅務/銀行避風港的離岸銀行
- ☐ Professionals (e.g. Solicitors, Accountants, etc) 專業人士 (例如：律師、會計師）
- ☐ Public Services 公共服務
- ☐ Real Estate 房地產
- ☐ Startups and Fintech 初創及金融科技
- ☐ Telecommunications 通訊業
- ☐ Transportation 運輸業
- ☐ Travel and Tourism 旅遊業
- ☐ Utilities 公用事業
- ☐ Virtual Currency Exchanges 虛擬貨幣兌換
- ☐ Wholesale/Export/Import 批發/進出口

☐ Other (please state) 其他(請註明): _____

國泰君安國際
GUOTAI JUNAN INTERNATIONAL

11 SELF-CERTIFICATION DECLARATION OF RESIDENCE FOR TAX PURPOSE 稅務居民身份自我聲明

Entity Type 實體類別

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/)

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 / We (on behalf of the entity) certify that the entity is 本人/吾等(代表本實體)聲明本實體是：

☐ Financial Institution 財務機構
Specify Type 選項類別:

☐ Investment Entity that is managed by another Financial Institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction. Note: This entity is reclassified as a Passive NFE ("Passive Non-Financial Entity") – Please complete "Controlling Person" below
另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體
(註：此類實體被重新分類為被動非財務實體-請填寫"控權人士")

☐ Other Financial Institution – Depository Institution, Custodial Institution, Specified Insurance Company, and Investment Entity not described above
其他金融機構 - 存款機構、託管機構、指明保險公司，及非上列之投資實體

☐ NFE ("Non-Financial Entity") 非財務實體
Specify Type 選項類別:

☐ NFE the stock of which is regularly traded on _____, which is an established securities market
該非財務實體的股票經常在 _____（一個具規模證券市場）進行買賣

☐ Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market.
_____ 的有關連實體，該有關連實體的股票經常在 _____（一個具規模證券市場）進行買賣

☐ NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities
政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體

☐ Active NFE other than the above Indicate Status: _____
其他主動非財務實體 詳細類別: _____

☐ Passive NFE (other than Investment Entity that is managed by another financial institution and located in a non-participating jurisdiction) - Please complete "Controlling Person" below
被動非財務實體 (位於非參與稅務管轄區並由另一財務機構管理的投資實體除外) - 請填寫"控權人士"

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 理由 A	The jurisdiction where the Account Holder is a resident for tax purposes does not issue TINs to its residents. 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 理由 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) 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 理由 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. 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。)

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

Controlling Person(s) 控權人士

To be completed by entity that is classified as a Passive NFE/NFFE (including an Investment Entity located in an AEOI Non-Participating Jurisdiction and managed by another Financial Institution that is reclassified as a Passive NFE).
此部分只供被分類為被動非財務(海外)實體填寫(包括被重新分類為被動非財務實體之位於非參與稅務管轄區並由另一財務機構管理的投資實體)。

For each Controlling Person, fill in ALL jurisdiction(s) and the associated TIN(s) where that Controlling Person is a tax resident (including U.S. and Hong Kong, where applicable). Please note that Controlling Person refer to natural person who meet specified requirements. If the entity has more than four Controlling Persons, please use an additional Self-Certification Form.
就每位控權人士而言，必須填寫持有稅籍之所有司法管轄地及有關稅籍編號（包括美國和香港，如適用）。請留意控權人士代表符合指定條件之自然人。如果有超過 4 位控權人士，請使用額外的自我聲明書。

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 理由 A	The jurisdiction where the Controlling Person is a resident for tax purposes does not issue TINs to its residents. 控權人士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 理由 B	The Controlling Person is unable to obtain a TIN or equivalent number. (Please explain why you are unable to obtain a TIN in the below table) 控權人士不能取得稅務編號。(請在下表中解釋不能取得稅務編號的原因)
Reason C 理由 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. 控權人士毋須提供稅務編號。(這理由只適用於居留司法管轄區的主管機關不需要控權人士披露稅務編號。)

控權人士之姓名 Name of Controlling Person ("CP")		控權人士稅務居民司法管轄地 All Jurisdiction(s) of Tax Residence of CP	控權人士在該司法管轄地持有稅籍之稅籍編號， 如果不能提供稅務編號，請填寫理由 A, B 或 C TIN(s) for Each Jurisdiction of Tax Residence of CP or Provide Reason A, B or C if TIN is unavailable
控權人士 1 **CP1**			

控權人士 2 **CP2**			
控權人士 3 **CP3**			
控權人士 4 **CP4**			

在適當方格內加上✓號，指出控權人就實體所屬的控權人類別。
Please tick the appropriate box to indicate the type of controlling person for each controlling person.

實體類別 Type of Entity	控權人類別 Type of Controlling Person	控權人士 1 **CP1**	控權人士 2 **CP2**	控權人士 3 **CP3**	控權人士 4 **CP4**
法人 Legal Person	擁有控制股權的個人（即擁有不少於百分之二十五的已發行股本） Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital)	☐	☐	☐	☐
	以其他途徑行使控制權或有權行使控制權的個人（即擁有不少於百分之二十五的表決權） Individual who exercises control / entitled to exercise control through other means (i.e. not less than 25% of voting rights)	☐	☐	☐	☐
	擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人 Individual who holds the position of senior managing official / exercises ultimate control over the management of the entity	☐	☐	☐	☐
信託 Trust	財產授予人 Settlor	☐	☐	☐	☐
	受託人 Trustee	☐	☐	☐	☐
	保護人 Protector	☐	☐	☐	☐
	受益人或某類別受益人的成員 Beneficiary or member of the class of beneficiaries	☐	☐	☐	☐
	其他（例如：如財產授予人/受託人/保護人/受益人為另一實體，對該實體行使控制權的個人） Others (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary)	☐	☐	☐	☐
除信託以外的法律安排 Legal Arrangement other than Trust	處於相等/相類於財產授予人位置的個人 Individual in a position equivalent or similar to settlor	☐	☐	☐	☐
	處於相等/相類於受託人位置的個人 Individual in a position equivalent or similar to trustee	☐	☐	☐	☐
	處於相等/相類於保護人位置的個人 Individual in a position equivalent or similar to protector	☐	☐	☐	☐

	處於相等/相類於受益人或某類別受益人的成員位置的個人 Individual in a position equivalent or similar to beneficiary or member of the class of beneficiaries	☐	☐	☐	☐
	其他（例如：如處於相等/相類於財產授予人/受託人/保護人/受益人位置的人為另一實體，對該實體行使控制權的個人） Other (e.g. individual who exercises control over another entity being equivalent/similar to settler / trustee / protector / beneficiary)	☐	☐	☐	☐

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 selfcertification, 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。

12 FATCA INFORMATION 海外帳戶稅收合規法案資料 *(Please tick appropriate box. 請在適當空格加✓)*

1. Is your company a "Specified U.S. Person" 貴公司是否"指定美國人士"？
   ☐ NO 否 ☐ YES 是，please specify TIN 請提供稅務身份號碼 _____

2. Is your company a "Foreign Financial Institution (FFI)" 貴公司是否"海外金融機構"？
   ☐ NO 否 (Please answer 5 請回答 5) ☐ YES 是 (Please answer 3 請回答 3)

3. If 2 is "YES", please tick in the box 如 2 "是"，請在格內劃上剔號：
   - ☐ Participating FFI 參與法案的海外金融機構
   - ☐ Reporting Model 1 FFI 以版本一申報的海外金融機構
   - ☐ Certified Deemed Compliant FFI 經認證被視作合規的海外金融機構
   - ☐ Sponsored FFI that has not obtained a GIIN 不具 GIIN 之受贊助的海外金融機構
   - ☐ Exempt Beneficial Owner 豁免實益擁有人
   - ☐ Registered Deemed Compliant FFI 已註冊被視作合規的海金融機構
   - ☐ Reporting Model 2 FFI 以版本二申報的海外金融機構
   - ☐ Owner-Documented FFI 已提供所有人資訊的海外金融機構
   - ☐ Non-Participating FFI 不參與法案的海外金融機構
   - ☐ Others 其他：_____

4. If you are a "Participating FFI", "Registered Deemed Compliant FFI", "Reporting Model 1 FFI" or "Reporting Model 2 FFI", please provide GIIN 如貴公司屬於"參與法案的海外金融機構"、"已註冊被視作合規的海金融機構"、"以版本一申報的海外金融機構"或"以版本二申報的海外金融機構"，請提供全球中介人身份號碼：_____

5. If 2 is "No", please TICK 如 2 "否"，請在格內劃上剔號：
   - ☐ Active Non-Financial Foreign Entity 實質營運的非金融海外實體
   - ☐ Passive Non-Financial Foreign Entity 非實質營運的非金融海外實體

Does your company, being a "Passive Non-Financial Foreign Entity", have controlling person that is a US citizen or resident
如貴公司，屬於"非實質營運的非金融海外實體"，是否存在美國公民或居民控制人？
☐ NO 否 ☐ YES 是，please provide the following details of the US controlling person 請提供以下該美國控制人的詳情：

Name 姓名：_____ Taxpayer Identification No. (TIN) 稅務身份號碼： _____

Address 地址：_____

We hereby confirm the information provided above is true, accurate and complete. We 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 we have provided.
吾等確認以上所提供的資料是真實、準確以及完整。吾等保證吾等提供的任何資料如有變更，吾等會於三十日 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。

13 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 our own name upon our request.
請在本公司要求時將為本公司代收的款項轉帳到下列以本公司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)

We, the under-signed, hereby confirm that:
1. We shall refer to Fees Schedule for remittance bank charges;
2. 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. We shall bear the losses, responsibilities and risks pertinent to this withdrawal, transfer or payment to third party instruction;
5. 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. We understand that the funds are remitted in the name of your company;
7. We understand that the submission deadline is 12:00 noon 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. We acknowledge and agree that the staff of your company may at any time contact us over the phone to confirm the details of our withdrawal request if they have any questions on its validity; and that your company is entitled to reject our withdrawal request without any liabilities if we are unable to verify the relevant details satisfactorily.

吾等，以下簽署者，謹此確認：
1. 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公司；
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. 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. 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. 吾等明白所有匯款是以貴司之名義匯出；
7. 吾等明白截止提款時間為每天交易日中午12:00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. 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吾等確認提款資料；如無法聯絡吾等，提款手續將不獲辦理。

14 DECLARATION 聲明

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 imply approval for opening of the Account for us and that you reserve the right to reject our application.
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帳戶予吾等，並清楚閣下保留拒絕吾等開戶申請之權力。

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.
吾等向閣下申請開立證券交易/衍生工具交易/槓桿式外匯交易/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。

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. We hereby confirm and declare that, to the best of my knowledge, we have not committed or been convicted of tax crimes or tax evasion cases in any country/jurisdiction.
吾等在此確認並聲明就吾等所知所信，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. We hereby confirm and declare that we are currently under tax investigation or tax audit in the below country(ies)/ jurisdiction(s):
吾等在此確認並聲明，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. We hereby confirm and declare that we have committed or convicted of tax crimes or tax evasion cases in the below jurisdictions:
吾等在此確認並聲明，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. We would like to provide additional information regarding our tax compliance:
吾等欲提供關於吾等的稅務合規的其他信息: _____

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 (on behalf of the entity) declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人/吾等(代表本實體)在此聲明本人/吾等已查閱此自我聲明書之內容及陳述，並盡本人/吾等所知及確信，聲明內容均屬真實、正確及完整。

I / We (on behalf of the entity) acknowledge that the information contained in this form and information regarding the account holder, controlling person(s) (if any) and any reportable account(s) 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 the entity.

本人/吾等(代表本實體)承認此聲明書及有關本實體、其控權人士(如有)及須申報帳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《外國帳戶稅收合規法案》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 (on behalf of the entity) declare that I / We have: (a) examined the information on this Self-Certification and the relevant IRS form(s) and any attachments to these forms, and to the best of my / our knowledge and belief they are true, correct and complete; and (b) duly notified as required by any applicable laws and regulations, and obtained all necessary consent and waiver from, all equity holders of the Entity and third parties whose information may (i) appear in this Self-Certification and any IRS form(s) and any attachments to these forms described in the preceding paragraph; and/or (ii) in any way be 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 pursuant to, or as contemplated in, this Self-Certification form and the relevant IRS form(s).

本人/吾等(代表本實體)在此聲明，本人/吾等已(a)查閱此自我聲明和相關美國稅務表格及其任何附件，並據本人/吾等所知及所信，該等資料真確無誤及完整；及（b）按照任何適用法律和法規的規定，向實體的所有股權持有人及第三方作出妥當通知，並已從前述人士獲得所有必要的同意和豁免，前述人士的資料可能(i)出現在此自我聲明書和前段所描述之任何稅務表格及其任何附件中；及/或(ii) 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)有限公司根據此自我聲明書及相關美國稅務表格或其擬定原意，以任何方式予以存儲、使用及披露。

I / We (on behalf of the entity) 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 any change in circumstances which affects the tax residency status of the entity identified or controlling person(s) identified (if any) of this form 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(代表本實體)承諾如以上聲明有任何情況改變而影響實體或控權人士(如有)的稅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聲明書。

I / We certify that I / We have the capacity to sign for the Entity identified on Page 1 and the controlling person(s) identified in Section 3 (if any) of this Self-Certification form.

本人/吾等聲明，本人有資格代表此自我聲明書首頁所標示之實體及第三部分所標示之控權人士(如有)簽署此自我聲明書。

國泰君安國際
GUOTAI JUNAN INTERNATIONAL

Acknowledgement and Consent regarding Personal Information Collection Statement 確認明白及同意個人資料收集聲明

☐ We acknowledge we have read, understand and agree with the content of the Personal Information Collection Statement of Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited and Guotai Junan FX Limited (individually or collectively "GTJA"). 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 us. Where personal data or information relating to any of our representatives (including directors, employees, agents, customers (direct or indirect) or affiliates) or any third party is provided to or held by GTJA in the course of our business dealings with GTJA, we undertake that we have obtained the consent of the relevant representatives/parties to enable GTJA to use, process, deal, share or transfer such data or information for the purposes set out in the Personal Information Collection Statement and we further undertake to promptly provide evidence of such consents to GTJA upon request from time to time. 吾等確認已閱讀、明白及同意國泰君安證券 (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(各稱或合稱「國泰君安」)之個人資料收集聲明之內容。吾等亦同意國泰君安可以在任何時間、在通知吾等後修改個人資料收集聲明之內容。如吾等在與國泰君安進行業務交往過程中向國泰君安提供或被國泰君安持有吾等任何代表（包括董事、僱員、代理、客戶（直接或間接）或關聯方）或任何第三方的個人資料或資訊，吾等承諾吾等已經獲得相關代表或第三方的同意，准許國泰君安按照個人資料收集聲明之目的使用、處理、處置、分享或轉移該等資料或資訊，吾等並且承諾在國泰君安提出要求時及時向國泰君安提供有關上述同意的證明。

I/We have carefully read and understood the English or Chinese contents of the Client Agreement for ☐ Securities Trading ☐ Stock Options Trading ☐ Derivatives Trading ☐ Foreign Exchange Trading, 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 ☐ 衍生工具交易 ☐外匯交易 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。

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/吾等有能力並願意履行此協議規定的責任和義務。

國泰君安國際
GUOTAI JUNAN INTERNATIONAL

SIGNED by Client 客戶簽署

_____
Authorized Signatures(s) with Company chop
公司印章及授權簽名

_____
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(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)
國泰君安國內咨詢中心/代表處地區 (如適用)

_____
Date 日期

☐ **Securities 證券帳戶**
SIGNED and DECLARED by Licensed Representative who has provided and explained to the Client the Client Agreement for Securities 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證券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

☐ **Stock Options 股票期權帳戶**
SIGNED and DECLARED by Licensed Representative who has provided and explained to the Client the Client Agreement for Stock Options Trading including the Risk Disclosure Statements in the language of the Client's choice; and has invited Client to read the Risk Disclosure Statements, to ask questions and to take independent advice if Client wish.
向客戶提供並解釋此股票期權交易客戶協議書包括其中有關風險披露聲明, 並邀請客戶仔細審閱和就該風險披露聲明提出問題,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 the Client's choice ; and has invited Client to read the Risk Disclosure Statement 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

國泰君安國際
GUOTAI JUNAN INTERNATIONAL

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：_____)

☐ Non Face to Face 非面對面 ☐ 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

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Part B: CREDIT LIMIT APPLICATION (To be filled by Front Office e.g. AE/Sales) (if applicable)
信用額度申請（業務部使用）（若適用）

Does the Client require a settlement limit (i.e. DVP or T+2 limit) and/or other credit limit ? 請問客戶是否需要申請結算風險額度（例如 DvP 額度或 T+2 額度）和/或其他信用額度？*(Please tick an appropriate box. 請在適當空格加✓)*

□ **No 不需要 → Please ignore Part B, C and D 若不需要申請任何額度，請忽略章節 B, C 及 D**

□ **Yes 需要 → Please complete this Part and Part D as appropriate 若需要申请信用額度，請填寫章節 B 及 D**

Note 附註:

1. To avoid any delay or inconvenience in providing trading services, it is advisable that the Client and Front Office should complete Part B, C and D during the Account Opening process. If the Client chooses not to apply any credit limit (including the DvP limit) during the Account Opening process, then the Client will still need to provide three year's financial statements if the Client wishes to apply a credit limit at a later stage. 為了避免延誤交易或對交易過程造成不便，建議客戶及業務人員在開戶過程中填寫章節 B，C 及 D。若客戶在开户流程中决定不申请任何信用額度（包括 DvP 額度），若该客户在开户后想要申请任何額度，則該客戶依舊需要提供最近三年的財務數據進行申請。

2. Under normal circumstances, a client entity (and/or its parents and guarantor if applicable) is expected to provide three year's financial statements to the extent practicable. However, if the client entity has been set up for a year, then only one year's financial statement will be required. 在可行情況下，客戶（及/或其母公司及擔保方，若適用）需要提供最近三年的財務報表進行額度申請，但若該公司僅成立一年，則僅需要一年的財務報表進行額度申請。

Limit Type **額度種類**	☐ **Settlement Limit** **結算風險限額**	☐ **Other Credit Limit (Please specify)** **其他信用額度，請註明** _____
Limit Application **額度申請**	**Currency 貨幣** _____ **Amount 金額** _____	**Currency 貨幣** _____ **Amount 金額** _____
Rationale to justify the limit application (e.g. Business potentials) **額度申請原因（例如：交易潛力）**		
_____ **Signature of Account Executive 客戶主任簽署**		
_____ **Signature of Relevant Sales Head 銷售主管簽署**		
_____ **Signature of Relevant Department Head 部門主管簽署**		

國泰君安國際
GUOTAI JUNAN INTERNATIONAL

Part C: CREDIT LIMIT REVIEW (if applicable) 信用額度審批（風險部使用）（若適用）

Limit Type 額度種類	☐ **Settlement Limit** 結算風險限額	☐ **Other Credit Limit (Please specify)** 其他信用額度，請註明 _____
Approved Limit 申請額度批准值	**Currency 貨幣** _____ **Amount 金額** _____	**Currency 貨幣** _____ **Amount 金額** _____
Risk Comment 風險部意見		

Part D: CLIENT AND COUNTERPARTY FINANCIAL SUMMARY FORM (if applicable)
客戶與交易對手財務總結表（若適用）

Note 附註:
If any of below items is not applicable, please fill in with N/A. 若以下任何一項不適用，請填寫不適用。

1. Financial Details of the Entity

公司的主要財務資料

Financial Year 財年	Prior Year 1 (e.g. 2016)	Prior Year 2 (e.g. 2017)	Current Year (e.g. 2018)
Reporting Currency 報告貨幣			
AUM (if applicable) **資產管理規模（若適用）**			**As stated in Part A**
Revenue 營業總收入			**As stated in Part A**
Net Profit 淨利潤			**As stated in Part A**
Cash and Cash Equivalent **現金及現金等價物**			
Total Assets 總資產			**As stated in Part A**
Total Debt 總債務			
Total Liabilities 總負債			
Total Equity 總權益			

2. Financial Details of the Parent Company (if applicable)

母公司的主要財務資料(若適用)

Name of Parent Company 母公司名稱: _____

Financial Year 財年	Prior Year 1 (e.g. 2016)	Prior Year 2 (e.g. 2017)	Current Year (e.g. 2018)
Reporting Currency 報告貨幣			
AUM (if applicable) **資產管理規模（若適用）**			
Revenue 營業總收入			
Net Profit 淨利潤			
Cash and Cash Equivalent **現金及現金等價物**			
Total Assets 總資產			
Total Debt 總債務			
Total Liabilities 總負債			
Total Equity 總權益			

3. Financial Details of the Ultimate Parent Company (if applicable)

最終控股公司的主要財務資料(若適用)

Name of Ultimate Parent Company 最終控股公司名稱: _____

Financial Year 財年	Prior Year 1 (e.g. 2016)	Prior Year 2 (e.g. 2017)	Current Year (e.g. 2018)
Reporting Currency 報告貨幣			
AUM (if applicable) 資產管理規模 (若適用)			
Revenue 營業總收入			
Net Profit 淨利潤			
Cash and Cash Equivalent 現金及現金等價物			
Total Assets 總資產			
Total Debt 總債務			
Total Liabilities 總負債			
Total Equity 總權益			

4. Financial Details of Guarantor – Corporate / Institutional (if applicable)

擔保方 - 公司/機構的主要財務資料(若適用)

Name of Guarantor 擔保方名稱: _____

Financial Year 財年	Prior Year 1 (e.g. 2016)	Prior Year 2 (e.g. 2017)	Current Year (e.g. 2018)
Reporting Currency 報告貨幣			
AUM (if applicable) 資產管理規模 (若適用)			
Revenue 營業總收入			
Net Profit 淨利潤			
Cash and Cash Equivalent 現金及現金等價物			
Total Assets 總資產			
Total Debt 總債務			
Total Liabilities 總負債			
Total Equity 總權益			

5. Financial Details of Guarantor – Individual (if applicable)

擔保方 - 個人的主要財務資料(若適用)

Name of Guarantor 擔保方名稱: _____

Item 項目	Latest Data 最新資料
Reporting Currency 報告貨幣	
Revenue 全年收入	
Net Worth 淨資產	
Total Assets 總資產	
Detail of Total Assets 總資產來源	
- **Salary / Business Income** 薪俸/營業收入	
- **Investment Income** 投資回報	
- **Pension** 退休金	
- **Savings** 儲蓄	
- **Value of Property (Net of Mortgages)** 物業價值	
- **If others, please specify** 若為其他，請注明	

Notes: Definition of Required Financials Items

Item	Definition
AUM	Assets under management ("AUM") is the total market value of assets that an investment company or financial institution manages on behalf of investors.
Revenue	Revenue is the total receipts from sales of goods or services during the specific financial year.
Net Profit	Net profit represents actual profit after all operating expenses, interest, taxes, depreciation and preferred stock dividends (but not common stock dividends) have been deducted from total revenue.
Cash and Cash Equivalent	Cash and cash equivalents refer to cash or assets which can be converted into cash immediately. These include bank accounts, marketable securities, commercial paper, Treasury bills and short-term government bonds with a maturity date of three months or less.
Total Assets	Total assets refer to the total amount of assets owned by the entity. Assets are items of economic value, which are expended over time to yield a benefit for the owner.
Total Debt	Total debt is a combination of both short-term and long-term debt. Short-term debts (e.g. credit lines, short-term bonds) must be paid back within a year. Long-term debt (e.g. mortgage loans, long-term bonds) must be paid off in more than a year.
Total Liabilities	Total liabilities can be split up into three basic parts: short-term, long-term, and other liabilities (e.g. any off balance sheet liabilities may incur). Short-term liabilities are typically liabilities that are due within one year or less, while long-term liabilities are those with a maturity beyond the one year point. Liabilities such as loans, leases and taxes due can fall into either category.
Total Equity	Total equity is the value of the business left to its owners after subtracting total liabilities from total assets.
Net Worth (Individual)	An individual's net worth is the value left after subtracting the total debt (e.g. mortgage, credit card balances, car loans) from total assets (e.g. savings, value of property, pension).

附注：主要財務資料的定義

項目	定義
資產管理規模	資產管理規模是指衡量基金公司、金融機構的資產管理業務規模的指標，是當前管理客戶資產的總市值。
營業總收入	營業總收入是指公司在制定財年中從事銷售商品，提供勞務和讓渡資產使用權等日常經營業務過程中所形成的經濟利益的總流入。
淨利潤	淨利潤是指公司所得的營業收入減去營業成本、折舊、利息、股息（優先股）、所得稅等之後的實際利潤。
現金及現金等價物	現金，是指公司庫存現金以及可以隨時用於支付的存款。 現金等價物，是指公司持有的期限短、流動性強、易於轉換為已知金額現金、價值變動風險很小的投資。
總資產	總資產指公司擁有或控制的全部資產。包括流動資產、長期投資、固定資產、無形及遞延資產、其他長期資產、遞延稅項等，即為資產負債表的資產總計項。
總債務	總債務是短期借款和長期借款之和，其代表為有息債務。短期債務是指需要在一年以內清償的各種債務，長期債務是指需要支付利息、年期超過一年的貸款或財務責任。
總負債	總負債是指公司承擔並需要償還的全部債務。包括流動負債和長期負債、遞延稅項等，即為資產負債表的負債合計項。
總權益	總權益是指總資產扣除總負債後，由所有者享有的剩餘權益。
淨資產（個人）	個人淨資產是指個人總資產（例如儲蓄、退休金、房地產等）與個人總負債（例如：房貸、信用卡、車貸等）之差。

PERSONAL DATA (PRIVACY) ORDINANCE (CAP.486) ("PDPO")
PERSONAL INFORMATION COLLECTION STATEMENT

(1) The client ("Client") respectively of Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited (individually or collectively "GTJA") may from time to time be requested by GTJA to supply personal data (as defined under the PDPO) relating to the Client. For the purposes of this Statement, "personal data" (i) in the case of individual account holders, joint account holders or sole proprietors, means personal data relating to the relevant individual concerned; (ii) in the case of a partnership, means personal data relating to each partner of the partnership; and (iii) in the case of a corporate entity, means personal data relating to any individual director, shareholder, officer or manager which has been provided to GTJA. "GTJA Group" means all and/or any of GTJA's subsidiaries and/or holding companies and/or subsidiaries of such holding companies, within and/or outside Hong Kong.

(2) The Client shall provide all such personal data as shall be reasonably requested by GTJA in the Account Opening Form or otherwise, and any failure to do so may result in GTJA being unable to open or continue the Client's account ("Account"), or to effect transactions under the Account.

(3) The Client understands and accepts that GTJA may provide personal data received from the Client to the following persons (whether within or outside of Hong Kong) for the purposes set out in sub-paragraph (4) of this Statement:

(i) any nominees in whose name securities or other assets may be registered;
(ii) any member or affiliated or related company in the GTJA Group including but not limited to GTJA's parent and/or subsidiary companies;
(iii) any contractor, adviser, agent or third party service provider which provides administrative, background checking, data processing, financial, computer, telecommunication, payment or clearing, professional or other services to GTJA in connection with the operation of its business or provision of financial services or products to the Client;
(iv) credit reference agencies, and, in the event of default, to debt collection agencies;
(v) any person with whom GTJA enters into or proposes to enter into a transaction with on behalf of the Client or the Account, or the persons representing the same;
(vi) any person who provides financial services or issues, distributes or provides financial products to the Client through or with GTJA;
(vii) any foreign or local exchanges of securities, futures and/or other financial products where the Client's orders to buy or sell such securities, futures and/or other financial products are placed or transacted; or their associated clearing houses or operators;
(viii) any assignee, transferee, participant, sub-participant, delegate, successor or person to whom any agreement between the Client and GTJA is novated; and
(ix) any foreign or local governmental, regulatory, supervisory, tax, law enforcement or other authorities, bodies or institutions.

(4) The Client understands and accepts that the purposes for which the personal data provided by the Client from time to time may be used are:

(i) executing or giving effect to the Client's orders relating to transactions or otherwise, and carrying out the Client's other Instruction;
(ii) providing financial services or products to the Client or in connection with the Account, whether the services or products are provided by or through any other member of GTJA Group or any other person, within or outside Hong Kong;
(iii) providing personalized financial analysis and planning or designing financial services or products for the Client's use;
(iv) marketing services or products which may be of interest to the Client;
(v) conducting credit inquiries or background checks on the Client and ascertaining the Client's financial situation and investment objectives;
(vi) collecting of amounts due, enforcing of security, charges or other rights and interests in favour of GTJA or any member of GTJA Group;
(vii) complying with and/or enabling any affiliated or related company in the GTJA Group to comply with any foreign or local laws, regulations (including Foreign Account Tax Compliance Act, Automatic Exchange Of Financial Account Information, Common Reporting Standards and similar regulations), notifications, directives, guidelines or guidance given or issued by or in agreement with any legal, regulatory, governmental, tax, law enforcement or other authorities, exchanges, or self-regulatory or industry bodies or associations of financial services providers, within or outside Hong Kong, existing currently and in the future;;
(viii) complying with obligations, requirements, policies, procedures, measures and arrangements for sharing personal data and information within the GTJA Group and/or any other use of personal data in accordance with any GTJA Group wide programmes for compliance with sanctions or prevention or detection of money laundering, terrorist financing or other unlawful activities; and
(ix) other purposes related or incidental to any one or more of the above.

(5) GTJA may from time to time transfer the personal data of the Client outside Hong Kong to any of the persons referred to in sub-paragraph (3) of this Statement above and for any of the purposes referred to in sub-paragraph (4) of this Statement above.

(6) Use of Personal Data in Direct Marketing

GTJA intends to use, from time to time, Client's personal data in direct marketing of financial products and services, including but not limited to securities, futures, fixed income, currencies, commodities, wealth management, asset management, equity financing, equity derivatives, insurance, and other financial products and services. Only the following kinds of personal data of the Client may be used in such direct marketing:

(i) name;
(ii) gender;
(iii) date of birth;
(iv) part of identity card or passport number;
(v) contact information (including but not limited to phone number, fax number, email address, correspondence address and residential address);
(vi) information about the products and/or services the Client has purchased or applied for.

GTJA may not so use the data unless it has received the Client's consent to the intended use.

(7) Provision of Personal Data for Use in Direct Marketing

GTJA intends to provide, from time to time and for money and other property, Client's personal data to GTJA Group (other than GTJA itself) for use by GTJA Group in direct marketing of financial products and services, including but not limited to securities, futures, fixed income, currencies, commodities, wealth management, asset management, equity financing, equity derivatives, insurance, and other financial products and services. Only the following kinds of personal data of the Client may be provided to GTJA Group (other than GTJA itself) for use by GTJA Group in such direct marketing:

(i) name;
(ii) gender;
(iii) date of birth;
(iv) part of identity card or passport number;
(v) contact information (including but not limited to phone number, fax number, email address, correspondence address and residential address);
(vi) information about the products and/or services the Client has purchased or applied for.

GTJA may not so use the data unless it has received the Client's consent to the intended use.

(8) China Connect Securities Trading Service

The Client acknowledges and agrees that in providing GTJA's China Connect securities trading service to the Client, GTJA will be required to:

(i) tag each of the Client's orders submitted to the China Stock Connect System ("CSC") with a Broker-to-Client Assigned Number ("BCAN") that is unique to the Client or the BCAN that is assigned to the Client's joint account with GTJA, as appropriate; and
(ii) provide to the Exchange the Client's assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to the Client as the Exchange may request from time to time under the Rules of the Exchange.

Without limitation to any notification GTJA has given the Client or consent GTJA has obtained from the Client in respect of the processing of the Client's personal data in connection with the Client's account and GTJA's services to the Client, the Client acknowledges and agrees that GTJA may collect, store, use, disclose and transfer personal data relating to the Client as required as part of GTJA's China Connect securities trading service, including as follows:

(a) to disclose and transfer the Client's BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating the Client's BCAN when inputting a China Connect Order into the CSC, which will be further routed to the relevant China Connect Market Operator on a real-time basis;
(b) to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store the Client's BCAN,CID and any consolidated, validated and mapped

BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via HKEX) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Connect Market Operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;

(c) to allow the relevant China Connect Clearing House to: (i) collect, use and store the Client's BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator, the Exchange and the relevant SEHK Subsidiary; (ii) use the Client's BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and

(d) to allow the relevant China Connect Market Operator to: (i) collect, use and store the Client's BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets.

By instructing GTJA in respect of any transaction relating to China Connect Securities, the Client acknowledges and agrees that GTJA may use the Client's personal data for the purposes of complying with the requirements of the Exchange and its rules as in force from time to time in connection with the Stock Connect Northbound trading. The Client also acknowledges that despite any subsequent purported withdrawal of consent by the Client, the Client's personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.

Consequences of failing to provide Personal Data or Consent

Failure to provide GTJA with the Client's personal data or consent as described above may mean that GTJA will not, or no longer be able, as the case may be, to carry out the Client's trading instructions or provide the Client with GTJA's China Connect securities trading service.

(9) The Client has the right to request a copy of such personal data and may request the correction of the personal data (if applicable). Any such request must be made in accordance with the PDPO and shall be addressed to the Data Protection Officer of GTJA at the address at 27/F Low Block, Grand Millennium Plaza, 181 Queen's Road central, Hong Kong. The Client understands that a fee shall be charged by GTJA for any such request.

《個人資料（私隱）條例》（第486章）（「私隱條例」）
個人資料收集聲明

(1) 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（各稱或合稱「國泰君安」）可不時要求其客戶提供其個人資料（按私隱條例之釋義）。在本聲明中，「個人資料」意指客戶已向國泰君安提供之下述個人資料：（i）就個人帳戶持有人、聯名帳戶持有人或獨資經營者而言，其個人資料；(ii) 就合夥而言，其各合夥人之個人資料；及（iii）就公司實體而言，其個人董事、股東、行政人員或經理之個人資料。「國泰君安集團」意指全部及/或任何香港境內及/或境外國泰君安之附屬公司及/或控股公司及/或該等控股公司之附屬公司。

(2) 在國泰君安合理地要求客戶在開戶文件或其他情況下提供個人資料時，客戶需按要求提供個人資料，否則可能導致國泰君安無法為客戶開立或保持其帳戶或為其帳戶執行任何交易。

(3) 客戶明白及同意，國泰君安可以向下述人士提供收取自客戶的個人資料：

(i) 任何以其名義登記證券或其他資產的代名人；
(ii) 國泰君安集團內之成員或關聯或相關公司，包括但不限於國泰君安之母公司及/或子公司；
(iii) 任何向國泰君安提供與國泰君安業務經營有關的或向客戶提供金融服務或產品有關的行政、背景審查、資料處理、財務、電腦、電訊、支付或結算、金融、專業或其他服務的承包商、顧問、代理人或第三方服務提供者；
(iv) 信貸資料服務機構，及（在違約欠債時）追收債款代理；
(v) 國泰君安代表客戶或客戶帳戶或其代表與之訂立或擬訂立交易的任何人；
(vi) 透過或與國泰君安一起向客戶提供金融服務或發行、分銷或提供金融產品的任何人；
(vii) 客戶進行證券、期貨及/或其他金融產品買賣而在其場所下單或交易的任何外國或本地的證券、期貨及/或其他金融產品的交易所；或其相關聯結算所或營運者；
(viii) 任何更替國泰君安與客戶協議約務的承讓人、受讓方、參與者、次參與者、獲轉授人、繼承人或人士；及
(ix) 任何外國或本地的政府、監管、監督、稅務、執法或其他機關、組織或機構。

(4) 客戶明白及同意，其不時提供之個人資料可以作下述用途使用：

(i) 執行或實行客戶有關於交易或其他事情之下單或指令，以及執行客戶的其他指示；
(ii) 向客戶提供金融服務或產品或提供與賬戶有關的金融服務或產品，不論相關服務或產品是否由或透過任何在香港境內或境外國泰君安集團成員或其他人士提供；
(iii) 提供個人化財務分析及策劃或設計供客戶使用的金融服務或產品；
(iv) 向客戶推銷客戶可能感興趣的服務或產品；
(v) 對客戶進行信貸或背景查詢及確定客戶財務狀況和投資目標；
(vi) 追收債款、行使以國泰君安或其他國泰君安集團成員為受益人的抵押品、押記或其他權力及權利；
(vii) 為遵守或為促使國泰君安集團內之關聯公司或其相關公司遵守任何本地或外國之法律、規例（包括外國帳戶稅收合規法案、自動交換財務帳戶資料、共同申報準則及相類似規例）、任何在香港境內或境外現存或未來設立的法律、監管、政府、稅務、執法或其他機關、交易所、或自我監管或行業團體或組織或金融服務提供者所自行或按協議提供或發出的通知、指示或指引；
(viii) 為遵守國泰君安集團為了遵守制裁、防止或偵查洗錢、恐怖份子融資或其他非法活動而制定的，適用於任何國泰君安集團成員的，關於個人資料在國泰君安集團內分享及/或用於其他用途的責任、要求、政策、程序、措施及安排；及
(ix) 與上述任何一條或多條有關或附帶的其他目的。

(5) 國泰君安可以不時按上述第(4)段所述用途，轉移客戶的個人資料予香港以外之上述第(3)段所述人士。

(6) 個人資料在直接促銷中的使用

國泰君安會不時使用客戶的個人資料，用作直接促銷不同的金融產品和服務，其中包括但不限於證券、期貨、固定收益、外匯、商品、財富管理、資產管理、融資融券、股權衍生產品、保險、及其他金融產品及服務。使用於直接促銷的客戶的個人資料將限於：

(i) 姓名；
(ii) 性別；
(iii) 出生日期；
(iv) 身份證或護照號碼的一部分；
(v) 聯絡資料（包括但不限於電話號碼、傳真號碼、電郵地址、通訊地址及住宅地址）；
(vi) 客戶已購買或申請的產品及/或服務的資料。

除非國泰君安已經就擬議使用獲得客戶的同意，否則不得如上所述使用資料。

(7) 提供個人資料作直接促銷

國泰君安會不時（不論是否收取金錢或其他財物為報酬）向其他國泰君安集團成員提供客戶的個人資料，使其可以使用客戶的個人資料用作直接促銷不同的金融產品和服

務，其中包括但不限於證券、期貨、固定收益、外匯、商品、財富管理、資產管理、融資融券、股權衍生產品、保險、及其他金融產品及服務。提供予其他國泰君安集團成員使用於直接促銷的客戶的個人資料將限於：

(i) 姓名；
(ii) 性別；
(iii) 出生日期；
(iv) 身份證或護照號碼的一部分；
(v) 聯絡資料（包括但不限於電話號碼、傳真號碼、電郵地址、通訊地址及住宅地址）；
(vi) 客戶已購買或申請的產品及/或服務的資料。

除非國泰君安已經就擬議使用獲得客戶的同意，否則不得如上所述使用資料。

(8) 中華通證券交易服務

客戶明白及同意，國泰君安為客戶提供中華通證券交易服務時，國泰君安須要：

(i) 在提交每一客戶交易指令予中華通買賣盤訂單傳遞系統時，在交易指令中附加上客戶唯一的券商客戶編碼或（如客戶賬戶為聯名賬戶）客戶聯名賬戶獲分配的券商客戶編碼；及
(ii) 向交易所提供客戶唯一的券商客戶編碼及一切交易所按照其規則不時要求索取的關於客戶的身份識別資料。

不受限於國泰君安就著因應客戶的賬戶或提供服務予客戶而處理客戶個人資料而給予客戶的通知或取得的客戶同意，客戶明白及同意，作為國泰君安中華通證券交易服務的一部份，國泰君安可以作出下述的收集、儲存、使用、披露及轉移客戶的個人資料的行為：

(a) 不時向交易所及相關交易所附屬公司披露及轉移客戶的券商客戶編碼及客戶識別信息，包括在中華通買賣盤訂單傳遞系統輸入中華通證券交易指令時顯示客戶的券商客戶編碼，並實時轉傳至相關中華通證券交易營運者；
(b) 容許交易所及各相關交易所附屬公司：(i)收集、使用及儲存客戶的券商客戶編碼及客戶識別信息以及相關中華通結算所所提供（以儲存而言，它們通過香港交易所進行）的合併、核實及配對的券商客戶編碼及客戶識別信息資料，以作市場監察及執行交易所規則用途；(ii) 基於下列(c)及(d)所述目的，不時（直接或通過相關中華通結算所）轉移該等資料予相關中華通證券交易營運者；及(iii) 披露該等資料予香港相關監管機構及執法機關，以配合其履行關於香港金融市場的法定職能；
(c) 容許相關中華通結算所：(i)收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以對券商客戶編碼及客戶識別信息作出合併及核實並與其投資者身份識別資料庫作出配對，及把合併、核實及配對的券商客戶編碼及客戶識別信息資料提供予相關中華通證券交易營運者、交易所及相關交易所附屬公司；(ii)使用客戶的券商客戶編碼及客戶識別信息，以履行其證券賬戶管理的法定職能；及(iii)披露該等資料予中國大陸相關監管機構及執法機關，以配合其履行關於中國大陸金融市場的監管、監察及執法職能；及
(d) 容許相關中華通證券交易營運者：(i)收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以監察通過使用中華通服務在相關中華通市場進行之證券交易，和執行相關中華通證券交易營運者之規則；及(ii)披露該等資料予中國大陸相關監管機構及執法機關，以配合其履行關於中國大陸金融市場的監管、監察及執法職能。

當客戶指示國泰君安進行任何中華通證券的交易時，客戶明白及同意，國泰君安可以使用客戶的個人資料於遵守交易所的要求及其對中華通北向交易不時生效的規則。客戶也明白，即使未來客戶計劃撤消其同意，客戶的個人資料（不論客戶撤消客戶同意前或後）會繼續被儲存、使用、披露、轉移或其他方式處理，以達至上述目的。

不能提供個人資料或同意的後果

客戶不能如上述向國泰君安提供個人資料或同意，將可能導致國泰君安（按情況）不會或不可繼續執行客戶的交易指示或向客戶提供中華通證券交易服務。

(9) 客戶可以要求國泰君安提供其個人資料的副本，及可以在需要時要求對其個人資料進行更正。任何此類要求可致予國泰君安資料保護主任，地址為：香港中環皇后大道中181號新紀元廣場低座27樓。客戶明白國泰君安將就任何此等要求收取費用。