

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: _____

Checked by: _____ **Date:** _____

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. 帳戶持有人的身份證及/或護照的經簽名驗證複印本¹
2. 最近 3 個月的銀行結單或公共服務單據作住址證明
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. 香港期貨交易所期貨及期權持仓限額及申報大額未平倉合約規則(適用於開設期貨帳戶)
7. 香港股票期權持仓限額及須申報的持仓量規則(適用於開設股票期權帳戶)

Please provide for both Primary Client and Joint Client:

1. Certified true copy of your identity card and/or passport¹
2. A bank statement / utility bill within the past 3 months as proof of residential address
3. Client Risk Profiling Questionnaire - Investment Products (for Individual/Joint Account)
4. Trading Platform Application and Termination (Applicable for Futures account opening)
5. Standing Authority (Applicable for Futures/FX account opening)
6. Hong Kong Futures Exchange Futures & Options Position Limits and Large Open Position Reporting Requirements (Applicable for Futures account opening)
7. Hong Kong Stock Options Position Limits and Large Open Position Reporting Requirements (Applicable for Stock Options account opening)

ACCOUNT OPENING FORM (INDIVIDUAL/JOINT ACCOUNT)

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

☐ 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)

Stock Options 股票期權

Please specify 請述明

☐ HK Stock Options 香港股票期權

☐ US Stock Options 美國股票期權

☐ **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: (_____)

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

☐ No 否

2 PERSONAL INFORMATION 個人資料 (Please tick appropriate box. 請在適當空格加✓)

Primary 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 ² : 前名:	Country of Birth: 出生國家:	ID Card No.: 身份證號碼:	Passport No.: 護照號碼:
	Date of Birth: 出生日期:	Place of Issue of ID Card: 身份證發出地:	Place of Issue of Passport: 護照發出地:
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:
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: ()	
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 Post to Correspondence Address 郵寄至通訊地址* <input type="checkbox"/> E-mail Address 電郵地址 <input type="checkbox"/> Company E-mail Address 公司電郵地址 * 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)			
Education 教育程度:	<input type="checkbox"/> Primary 小學	<input type="checkbox"/> Secondary 中學	<input type="checkbox"/> College 大專 <input type="checkbox"/> Graduate or above 大學或以上
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
Name of Employer of Primary Client: 客戶受僱/自僱機構名稱:			Present Position ³ : 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"/> \$1,000,001-\$5,000,000 <input type="checkbox"/> > \$10,000,000, please specify 須註明 ⁴ : <input 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
Net Worth (HK\$) ⁶ : 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 ⁵ : <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 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 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 type="text"/>	<input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Inheritance / Gift 遺產/贈物 <input type="checkbox"/> Sale of Property / Assets 出售物業/資產	

1 Please provide certified true copies of BOTH HK ID Card and passport for non-permanent HK resident. 非香港永久性居民應提交其香港身份證及有效的旅遊證件的經簽名驗證複印本。

2 Please provide certified true copies of documents proving alteration of name. 請提供更改名稱證明文件的經簽名驗證複印本。

3 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)。

4 Client(s) must specify the number of annual income if their annual income are over \$10,000,000. 客戶須註明其年息數字如其收入超過\$10,000,000。

5 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。

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

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

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

☐ Other (please state) 其他(請註明): _____

Joint Client 客戶			
<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:
Former Name ² : 前名:	Country of Birth: 出生國家:	ID Card No.: 身份證號碼:	Passport No.: 護照號碼:
	Date of Birth: 出生日期:	Place of Issue of ID Card: 身份證發出地:	Place of Issue of Passport: 護照發出地:
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	
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 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> College 大專 <input type="checkbox"/> Graduate or above 大學或以上			
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			
Name of Employer of Joint Client: 聯名客戶受僱/自僱機構名稱:			Present Position ³ : 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 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 ⁴ :	<input type="checkbox"/> \$250,001-\$500,000 <input type="checkbox"/> \$5,000,001-\$10,000,000	<input type="checkbox"/> \$500,001-\$1,000,000
Net Worth (HK\$) ⁶ : 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 ⁵ :	<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:	
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 type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Inheritance / Gift 遺產/贈物 <input type="checkbox"/> Sale of Property / Assets 出售物業/資產	

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

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

☐ Other (please state) 其他(請註明): _____

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✓)

- ☐ 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:
☐ 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」)

☐ 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: _____
- ☐ 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)
- ☐ 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? <input type="checkbox"/> No 沒有 <input type="checkbox"/> 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? <input type="checkbox"/> No 沒有 <input type="checkbox"/> 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? <input type="checkbox"/> No 沒有 <input type="checkbox"/> 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? <input type="checkbox"/> No 不是 <input type="checkbox"/> 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連繫之人士、高級政府官員或國有企業高級行政人員? * <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 (If yes, please specify 如果是，請述明具體: _____) Name of the PEP 政治人物的名稱: _____ Place and public function entrusted with 地方及所擔任的公職: _____ Term of the public function entrusted with 所擔任的公職年期: FROM 由 _____ TO 至 _____ Relationship with the client 與客戶之關係: _____
* 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)
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? <input type="checkbox"/> Yes 是 <input type="checkbox"/> 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? <input type="checkbox"/> Yes 是 <input type="checkbox"/> 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 <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 No.: 護照號碼: _____	Place of Issue of Passport: 護照發出地: _____		
Former Name ² : 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 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> College 大專 <input type="checkbox"/> Graduate or above 大學或以上		
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		
Name of Employer: 受僱/自僱機構名稱:		Present Position ³ : 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\$): <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 淨資產(港幣): <input type="checkbox"/> > \$100,000,000, please specify 須註明 ⁵ : 		
Source of Wealth <input type="checkbox"/> Salary / Business Income 薪俸/營業收入 <input type="checkbox"/> Savings 儲蓄 財富來源 <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 <input type="checkbox"/> Sale of Property / Assets 出售物業/資產 <input type="checkbox"/> Others 其他: _____		

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

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

☐ Other (please state) 其他(請註明): _____

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 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。)

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)

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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 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. 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. 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 and Guotai Junan FX Limited (individually or collectively "GTJA"). 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。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以在任何時間、在通知本人/吾等後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以在任何時間、在通知本人/吾等後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。

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 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。

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

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：_____)
- ☐ 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

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、轉移或以其他方式處理，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。