

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: _____

ACCOUNT OPENING FORM (LICENSED CORPORATION) 開戶申請表格 (持牌公司)

請提供:

- 下列經簽名驗證之複印本:-
 - 授權簽署人、授權交易員及董事之護照或身份證;
 - 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);
 - 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);
 - 公司註冊證明書;
 - 商業登記證 (如適用);
 - 監管/註冊證明
- 反洗錢協議原件/反洗錢問卷
- 客戶身份承諾 (如適用)
- 交收指示 (如適用)
- 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)
- 申請及終止交易平台 (適用於開設期貨帳戶)
- 常設授權 (適用於開設期貨/外匯帳戶)
- 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)
- 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:

- Certified true copies of:-
 - Passports or identity cards of Authorized Signatories, Authorized Traders and Directors;
 - Company Search Report (for locally incorp. & issued within last 6 months);
 - Certificate of Incumbency (for overseas incorp. & issued within last 6 months);
 - Certificate of Incorporation;
 - Business Registration Certificate (if applicable);
 - Regulatory / Registration proof;
- AML letter / Completed AML Questionnaire
- Client Identity Undertaking (for client account/master account use, if applicable)
- Settlement Instructions (if applicable)
- Financial Statements / Personal Guarantee (copy of passport/identity card of all guarantors, if applicable)
- Trading Platform Application and Termination (Applicable for Futures account opening)
- Standing Authority (Applicable for Futures/FX account opening)
- Hong Kong Futures Exchange Futures & Options Position Limits and Large Open Position Reporting Requirements (Applicable for Futures account opening)
- Hong Kong Stock Options Position Limits and Large Open Position Reporting Requirements (Applicable for Stock Options 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

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

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

- | | |
|---|--|
| <input type="checkbox"/> Cash 現金帳戶 | <input type="checkbox"/> Margin 孖展帳戶 |
| <input type="checkbox"/> Proprietary Account 自營帳戶 | <input type="checkbox"/> Client Account (Client Identity Undertaking should be signed) 客戶帳戶 (需簽署客戶身分承諾書) |
| <input type="checkbox"/> Bank 銀行 | <input type="checkbox"/> Broker/ Dealer 經紀人/經銷商 |
| <input type="checkbox"/> Mutual Fund 互惠基金 | <input type="checkbox"/> Fund /Asset Manager 基金/資產經理 |
| | <input type="checkbox"/> Non-Bank Financial Institution 非銀行金融機構 |
| | <input type="checkbox"/> Others 其他: _____ |

Regulated by 監管方為: _____

Do you require internet trading services? 您是否需要開通網上交易服務?

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

Client Type for Investor Identification Purpose 投資者識別碼客戶類別:

- ☐ Funds 基金 ☐ Fund Managers 基金經理 ☐ Others 其他

Please specify for trading in non-HK securities 如需要開通港股以外的其他證券交易請述明:

- | | |
|--|---|
| <input checked="" type="checkbox"/> Shanghai-Hong Kong Stock Connect 滬港通 | <input checked="" type="checkbox"/> Shenzhen-Hong Kong Stock Connect 深港通 |
| <input type="checkbox"/> Australian shares 澳洲股票 | <input type="checkbox"/> B shares 中國 B 股 |
| <input type="checkbox"/> French shares 法國股票 | <input type="checkbox"/> Bonds 債券 |
| <input type="checkbox"/> Korean shares 韓國股票 | <input type="checkbox"/> Funds 基金 |
| <input type="checkbox"/> US shares 美國股票 | <input type="checkbox"/> German Shares 德國股票 |
| <input type="checkbox"/> UK shares 英國股票 | <input type="checkbox"/> Singaporean shares 新加坡股票 |
| | <input type="checkbox"/> Canadian shares 加拿大股票 |
| | <input type="checkbox"/> Japanese shares 日本股票 |
| | <input type="checkbox"/> Taiwanese shares 台灣股票 |
| | <input type="checkbox"/> Structured product 結構性產品 (Applicable to Professional Investors only 只適用於專業投資者) |

Stock Options 股票期權

Please specify 請述明

- ☐ HK Stock Options 香港股票期權 ☐ US Stock Options 美國股票期權

☐ US Stock Short Selling Trading Account (Applicable for Securities Account Holder)

開通美國股票沽空交易帳戶 (適用於持有證券帳戶客戶)

☐ Futures 期貨帳戶

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

(Choose only one below 以下只選一項)

- ☐ Yes 是, 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: (_____) ☐ No 否

2 INSTITUTION/FUND INFORMATION 機構 / 基金資料 (Please tick appropriate box. 請在適當空格加✓)

Business Name (English): 業務名稱(英文):		
Business Name (Chinese): 業務名稱(中文):		
Trading Name (if different from the above): 商業名稱 (如與以上不同)		
Registered Address: 註冊地址:	Country: 國家:	
Business Address: 商業地址:	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):		
<input type="checkbox"/> By E-mail Address 電郵地址 <input type="checkbox"/> By Access to Online Trading Platform 網上交易平台取覽 (Only applicable to account with internet trading services 只適用於開通網上交易服務之帳戶) ^ ^ Under this option, you will access Statements via Online Trading Platform. Other notifications or correspondences will be provided to you by E-mail. 如選取此項, 您將通過網上交易平台取覽結單, 其他通知或通訊資料以電郵提供。 <input type="checkbox"/> By Post to Correspondence Address 郵寄至通訊地址* * Paper Statement will be subject to an Annual Fee (Please refer to Fee Table) 郵寄紙張結單需收取年費 (請參閱收費表)		
Please provide relevant identity document and fill in details in following descending order of priority ¹ . 請依照下列的優先排序依次提供相關身份證明文件, 並填寫信息 ¹ 。 Please put "N/A" if not applicable. 如不適用, 請填上 "N/A"。		
(1) Legal Entity Identifier registration document and No.: 全球法人機構識別編碼登記文件及號碼:	(2) Certificate of Incorporation and No.: 公司註冊證明書及號碼:	
(3) Certificate of Business Registration and No.: 商業登記證及號碼:	(4) Other equivalent identity document: 其他同等身份證明文件:	
Place of Issue of Business Registration Certificate: 商業登記證發出地:	Name and no. of identity document: 身份證明文件名稱及號碼:	
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) Tel. No. (Office): (國家區號) 辦公室電話號碼: ()	(Country Code) Fax No.: (國家區號) 傳真號碼: ()	
Paid Up Capital (HK\$): 實收資本(港幣):	Assets Under Management (HK\$) (if applicable): 資產管理規模(港幣) (如適用):	
Total Assets (HK\$): 總資產(港幣):	Annual Revenue (HK\$): 全年營業額(港幣):	Net Profit after taxation for the last year (HK\$): 去年稅後淨利潤(港幣):
Total Net Asset Value (for Collective Investment Scheme only) 資產淨值總額 (僅用於集體投資計劃): HKD 港幣/USD 美金 _____ as at 截止_____		

¹ As a general rule, client is required to provide identity documents that is first mentioned in the table, save that where client does not hold such document, the next mentioned document should be provided and so forth. But in case client possesses any identity document(s) in this table which are also included in the supporting documents list as stated in para 1 on top session, first page of this Account Opening Form, client is required to provide all such identity documents and fill in relevant part of the table, regardless their standing. 一般情況下, 客戶需要提供該表格內首述的身分證明文件, 除非客戶並無持有該文件, 則應提供該表格所提述的下一份文件, 如此類推。但假若客戶持有本表格內提及的身份證明文件, 而該等文件同時屬本開戶申請表格中, 第 1 頁頂部第 1 段所述的文件清單內, 無論他們在本表格的排名如何, 客戶需要提供所有此等身份證明文件並填寫本表格相關部分。

3 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)				<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照		
(2)				<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照		
(3)				<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照		
(4)				<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照		

4 OTHER DISCLOSURES (Please tick appropriate box. 請在適當空格加✓)

Is member of your group companies currently maintaining account(s) with the companies of Guotai Junan Group?
 貴集團/公司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: _____)

Are you the ultimate beneficial owner(s) of the Account? (Not applicable to client account 不適用於客戶帳戶)
 貴集團/公司是否帳戶之最終實益擁有人?
☐ Yes 是 ☐ No 不是 (If no, please complete Section 5. 如果不是, 請填寫 5)

5 ULTIMATE BENEFICIAL OWNER INFORMATION 最終實益擁有人資料

<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Ms. 女士 <input type="checkbox"/> Mrs. 夫人	English Name: 英文姓名: Chinese Name: 中文姓名:	ID Card No.: 身份證號碼:	Passport No.: 護照號碼:
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 未婚 <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:			
Shareholding 所佔股權(%):		Control 所佔控制權(%):	
Employment 就業情況: <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Unemployed 無業 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Student 學生			
Name of Employer: 受僱/自僱機構名稱:		Present Position: 現時職位:	
Office Address: 辦公室地址:		Country: 國家:	
Country Code) Office Tel. No. (Optional): (國家區號) 辦公室電話號碼(可選填): ()		(Country Code) Fax No. (Optional): (國家區號) 傳真機號碼(可選填): ()	
Company E-mail Address (Optional): 公司電郵地址(可選填):			

² Please provide certified true copies of documents proving alternation of name.

Employer / Occupation Industry (please select one) 僱主/職業行業 (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
彈藥及武器製造商 |
| <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 |
| <input type="checkbox"/> Other (please state) 其他(請註明): _____ | |

6 TRADING AUTHORISATION 交易授權 (Please tick appropriate box. 請在適當空格加✓)

The following individuals are authorized to execute trades on behalf of the Client.

下列人士均可對帳戶以書面或口頭形式發出交易命令或指示

	Name of Authorized Person(s) 被授權人姓名	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	Specimen Signature 簽名式樣
(1)			<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照			
(2)			<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照			
(3)			<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照			
(4)			<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照			
(5)			<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照			

Will the account be traded under or pursuant to Power of Attorney or Trading Authorization?

此帳戶是否根據授權委託書或交易授權進行交易？

☐ No 不是

☐ Yes 是 (If yes, please furnish a signed Power of Attorney or Trading Authorization. 如是，請提供已簽署的授權委託書或交易授權書)

7 SIGNING ARRANGEMENTS

Any _____ of the undersigned individuals are authorized to deposit/withdraw fund/shares to/from the Account, give settlement instructions and any other instructions on behalf of the Client and the specimen signatures appearing against their names are the true signatures of the authorized individuals:

以下任何____位授權人士簽署均可代表公司對帳戶進行資金/股票存儲/提取，發出清算指令和其他有關帳戶的指令，而授權人士之真實簽名樣本已於其姓名旁邊顯示：

	Name of Authorized Person(s) 被授權人姓名	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	Specimen Signature 簽名式樣
(1)			<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照			
(2)			<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照			
(3)			<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照			
(4)			<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照			

8 DECLARATION 聲明

- (1) 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 implies approval for opening of the Account for us and that you reserves 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。
- (2) We request you to open a ☐ Securities Trading ☐ Stock Options Trading (except US stock options trading) ☐ Derivatives Trading ☐ Foreign Exchange Trading ☐ US Securities Trading (Segregated Account) Services and agree to abide by the rules and regulations of the Hong Kong Exchanges and Clearing Limited ("HKEX"); the Hong Kong Futures Exchange Limited ("HKFE"); the Hong Kong Securities and Futures Commission ("HKSF") or any other regulatory body(ies) as amended from time to time governing the trading on Securities/Derivatives/ Foreign Exchange .
 吾等向閣下申請開立 ☐ 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 並同意遵守香港交易及結算所，香港期貨交易所，香港證券及期貨監察委員會及其他監管機構不時修訂以監管於進行證券/衍生工具/外匯交易之條例及規則。
- (3) **Declaration regarding tax compliance 有關稅務合規之聲明** (please tick all the boxes that apply 請在所有適當的空格加√)
- ☐ 1. We hereby confirm and declare that, to the best of our 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本人所知所信，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 have been 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 tax compliance:
 吾等欲提供關於吾等的稅務合規的其他信息: _____
- (4) We hereby confirm that, until such time as you receive further written notice from us to the contrary, every sell order we (whether as principal or agent) ask you to execute on the Hong Kong Stock Exchange will be a "LONG" sale, meaning that we will never give you a sell order unless, at the time of the order, we either:-
 吾等在此確認，在閣下收到吾等另有書面通知之前，吾等（無論是本人或代理人）要求閣下在香港聯交所執行的每個賣單都將是“沽出”。這意味著吾等不會給閣下沽出指示，除非在訂單的時候吾等：
 (a) own the shares that are the subject of the sell order, or
 擁有會被沽出的股份，或
 (b) have already exercised an ADR, TraHK unit, physically-settled share call option or other similar instrument convertible into the shares to be delivered to the purchaser.
 已經行使了預託證券(ADR)、盈富基金(TraHK unit)、已結算的認購期權或其他可轉換為交付給買方的股票的類似工具。
 We understand that if at any time we give you written notice that this declaration no longer have any effect, you are obliged under the Securities and Futures Ordinance to seek our verbal and written confirmation that any short sales are covered. We acknowledge that we are required to send you a Bloomberg Notification or by fax when our order is a short sale order.
 吾等清楚如在任何時候向閣下發出書面通知，指此聲明不再有任何效力，根據“證券及期貨條例”，閣下有義務向吾等口頭及書面確認任何沽空指示。吾等確認，當吾等的交易指示是沽空時，吾等需要向閣下發送彭博通知或傳真。

(5) In connection with any lawful request for information made to you by any regulator in Hong Kong including but not limited to the Securities & Futures Commission, the Stock Exchange of Hong Kong and the Hong Kong Futures Exchange (the "Regulators") in respect of any transaction relating to our account, we shall:-

任何香港特區監管機構可向閣下合法索取任何戶口內交易之有關資料，包括但不限於證券及期貨事務監察委員會，香港聯合交易所及香港期貨交易所（"監管機構"），吾等將：

- (a) within two (2) business days, upon request by you provide the Regulators with such information as may be required by them including but not limited to the identity, address, occupation, contact details and other identification particulars of (i) the party on whose account the transaction was effected (so far as known to us); (ii) the person who has the ultimate beneficial interest in the transaction; and (iii) any third party who originated the transaction;

根據閣下提出要求，於兩個工作天內，向監管機構提供其可能要求以下列出人士的資料，包括但不限於身份，地址，職業，聯繫方式及其他身份證明詳情：（一）交易受到影響的一方（就吾等所知）；（二）在交易中具有最終實益權益的人；（三）發起該項交易之任何第三者；

- (b) if we effect the transaction for a collective investment scheme, discretionary account or discretionary trust, we shall, within two (2) business days, upon request by you, inform the Regulators of the identity, address and contact details of the scheme, account or trust and, if applicable, the identity, address, occupation and contact details of the person who, on behalf of the scheme, account or trust, instructed us to effect the transaction and we shall inform you immediately after our discretion to invest on behalf of any scheme, trust or account has been overridden. In such event, we shall also inform the Regulators within two (2) business days upon request of the identity, address, occupation and contact details of the person(s) who has or have given the instruction in relation to the transaction; and

倘吾等為集體投資計劃、全權控制戶口或全權信託進行交易，吾等將於閣下提出要求後兩個工作天內，向監管機構提供有關該計劃、戶口或信託之身份、地址、聯絡資料，以及（倘適用）代表該計劃、戶口或信託，指示吾等進行該宗交易的人士的身份、地址、職業及聯絡資料。吾等承諾，吾等代表任何計劃、信託或戶口投資的酌情權給撤銷後，吾等會立即通知貴公司。屆時，吾等亦會應監管機構的要求，立即向其提供指示該次交易之人士之身份、地址、職業及聯絡資料；及

- (c) if we are aware that our client is acting as intermediary for its underlying client(s), and we do not know the identity, address, occupation and contact details of the underlying client for whom the transaction was effected, we confirm that:-

如吾等知悉吾等之客戶為其他客戶作為中間人進行交易，而吾等並不知道該等客戶之身份、地址、職業及聯絡資料時，吾等確認:-

- (a) we have arrangements in place with our client which entitle us to obtain the information set out in paragraphs (a) and/or (b) above from our client immediately upon request or procure that it be so obtained; and

吾等與客戶有合宜安排，使吾等有權應要求立即從客戶取得上述（a）及/或（b）段所列之資料，或促成取得該等資料；及

- (b) we shall, upon request from you in relation to a transaction under our account, promptly request the information set out in paragraphs (a) and/or (b) above from our client on whose instructions the transaction was effected such that the information is provided to the Regulators within two (2) business days from the date of the request.

當閣下就其戶口下之交易提出要求，吾等當立即向指示進行該宗交易之客戶索取上述（a）及/或（b）段所列之資料，使資料可於兩個工作天內提供與監管機構。

We confirm that we and our clients (as the case may be) are not subject to any law which prohibits the performance by us under paragraph 4 (a) and (b). If our clients are subject to such law, we or our clients have waived the benefit of such law or consented in writing to the performance by us of these paragraphs. This undertaking shall continue in effect notwithstanding the termination of the account. The term, "business day" herein shall mean business day in Hong Kong.

吾等確認吾等及吾等之客戶均不受制於禁止吾等作出本條款第四節（a）及（b）段所列之行為，或倘吾等或吾等之客戶受制於該等法律，吾等或吾等之客戶（視乎情況而定）已放棄該等法律之利益，或以書面同意吾等作出上述分段所列之行為。縱然戶口終止，本條款仍然繼續生效。上述所指之"工作天"為香港地區工作天。

(6) Acknowledgement and Consent regarding Personal Information Collection Statement 確認明白及同意個人資料收集聲明
 (please tick the box where applicable 若適用請在空格加"✓")

- ☐ 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, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) 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、國泰君安外匯有限公司及國泰君安資產管理（亞洲）有限公司（各稱或合稱「國泰君安」）之個人資料收集聲明之內容。吾等亦同意國泰君安可在通知吾等的情況下不時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、雇員、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。
- ☐ We acknowledge we have read, understand and agree with the content of the Personal Information Collection Statement of 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 sensitive 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 sensitive 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之個人資料收集聲明之內容。吾等亦同意國泰君安可在通知吾等的情況下不時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、雇員、代理、客戶（直接或間接）或關聯方）或任何第三方的敏感個人資料或資訊，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、分享或轉移該等敏感資料或資訊，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。
- ☐ We acknowledge we have read, understand and agree with the content of the Personal Information Collection Statement of 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 cross-border transfer such personal data 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之個人資料收集聲明之內容。吾等亦同意國泰君安可在通知吾等的情況下不時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、雇員、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將該等資料或資訊跨境轉移，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。

We have carefully read and understood the contents of the Terms and Conditions for Securities Trading for Institutional Professional Investor Client, Client Agreement for Securities Trading (for Broker Client), Client Agreement for Stock Options Trading, Client Agreement for Derivatives Trading, Client Agreement for Foreign Exchange and Bullion Trading, and Client Agreement for US Securities Trading (Segregated Account) Services (as applicable based on the type of account requested) (each an "Agreement"). We expressly agree and consent, as evidence by the signature(s) below, to each and all the terms and provisions contained in each Agreement. We hereby declare that we are willing and capable of fulfilling the duties and obligations as specified in each Agreement.

吾等已仔細審閱並理解機構專業投資者客戶的證券交易條款和條件、證券交易（經紀人客戶）客戶協議書、股票期權交易客戶協議書、衍生工具交易客戶協議書、外匯及貴金屬交易客戶協議及美國證券交易（獨立帳戶）服務客戶協議書（根據客戶申請帳戶類型適用）（“協議”）的全部內容。吾等的以下簽名表明吾等完全同意和接受協議的全部條款和細節。吾等有能力並願意履行承擔協議規定的權利和義務。

Authorized Signature(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.

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

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** 若需要申請信用額度，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。若客戶在開戶流程中決定不申請任何信用額度（包括 DvP 額度），若該客戶在開戶後想要申請任何額度，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	<input type="checkbox"/> Settlement Limit 結算風險限額	<input type="checkbox"/> 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/Relationship Manager 前臺人員簽署		
_____ Signature of Relevant Sales Head 銷售主管簽署		
_____ Signature of Relevant Department Head 部門主管簽署		

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	<input type="checkbox"/> Settlement Limit 結算風險限額	<input type="checkbox"/> 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 INFORMATION COLLECTION STATEMENT
for Corporate/Institutional Account**

- (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 relating to the Client.

For the purposes of this Statement:

“**GTJA Group**” means all and/or any of GTJA’s holding companies, subsidiaries or affiliates and/or subsidiaries or affiliates of such holding companies.

“**Personal data**” means all information recorded electronically or by other means, that is related to identified or identifiable natural persons, (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.

- (2) The Client shall provide all such personal data as shall be reasonably requested by GTJA in the Account Opening Form, the GTJA's mobile application programme (“**APP**”) 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 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, certification, data processing, financial, computer, telecommunication, payment or clearing, trading, execution, 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 member of GTJA Group or any other person;
 - (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 but not limited to 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 of the relevant jurisdictions, existing currently and in the future;
 - (viii) complying with sanctions or prevention or detection of money laundering, terrorist financing or other unlawful activities in accordance with applicable laws and regulations and GTJA Group's policies, procedures, measures and arrangements; 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 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. The Client may request for (a) the contact details of these third parties/recipients within the GTJA Group and (b) further details about how they collect and process personal data of the Client by contacting GTJA in accordance with sub-paragraph (13) of this Statement. GTJA takes appropriate measures in accordance with applicable laws and regulations to safeguard the personal data of the Client transferred to such third parties from GTJA, including without limitation to, entering into appropriate contractual arrangements with such third parties.
- (6) The Client acknowledges and understands that under the following circumstances and to the extent allowed under applicable laws or regulations, GTJA may process the Client's personal data without consent:
- (i) if it is necessary for the conclusion or performance of any contract to which the Client is a party;
 - (ii) if it is necessary for performing statutory duties or obligations under applicable laws or regulations;
 - (iii) if it is necessary for responding to public health incidents or for the protection of personal and property security in the case of an emergency;
 - (iv) if such personal data has been disclosed publicly or through other legal channels and the processing is within a reasonable scope; or
 - (v) if conducted under other scenarios permitted by applicable laws and regulations.

(7) Use of Personal Data for Know-your-Client Requirements

The Client acknowledges and agrees that GTJA may collect and process certain personal data of the Client through the APP, including without limitation to, (i) name; (ii) biometric information such as facial image and information with respect to the key features obtained through facial recognition; (iii) bank card number; and (iv) identity card or passport.

The Client acknowledges and understands that the personal data so collected will only be used for satisfying the "know-your-client" requirements in accordance with applicable laws and regulations and GTJA Group's policies and procedures.

The Client can contact GTJA any time in accordance with sub-paragraph (14) of this Statement to withdraw consent under this sub-paragraph but the Client acknowledges that GTJA is unable to continually provide any services for the Client following such withdrawal of consent.

(8) 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.

The Client can contact GTJA any time in accordance with sub-paragraph (13) of this Statement to withdraw consent if the Client no longer wants GTJA to use the personal data of the Client for direct marketing. Such withdrawal of consent for using personal data in direct marketing shall not affect the Client's consent given to GTJA for using personal data for other purposes as provided in this Statement.

(9) 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.

The Client can contact GTJA any time in accordance with sub-paragraph (13) of this Statement to withdraw consent if the Client no longer wants GTJA to use the personal data of the Client for direct marketing. Such withdrawal of consent for using personal data in direct marketing shall not affect the Client's consent given to GTJA for using personal data for other purposes as provided in this Statement.

(10) 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 PRC 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 PRC 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 PRC regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to PRC 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.

Failure to provide GTJA with the Client's personal data or withholding or withdrawing 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.

- (11) The Client acknowledges and understands that certain personal data provided to GTJA may constitute sensitive personal data. GTJA collects and processes such data solely for the purposes in sub-paragraph (4) of this Statement above. GTJA commits to protect the Client's personal data and has taken steps in this regard. In order to prevent unauthorized people or parties from being able to access the Client's personal data, GTJA has put in place a range of technical and organisational measures to safeguard and secure the Client's personal data in accordance with applicable laws and regulations.
- (12) GTJA will always only keep the Client's personal data for as long as GTJA reasonably needs it for the purposes in sub-paragraph (4) of this Statement above or on a longer term basis in accordance with applicable laws and regulations and GTJA Group's policies and procedures, or until receipt of the Client's request to delete such personal data, subject to limitations on technical feasibility.
- (13) The Client has the right to access and request a copy of such personal data and may request the deletion, correction of the personal data (if applicable), or the withdrawal of consent. In some circumstances, the Client may also have a data portability right to require GTJA to transfer the Client's personal data to a third party. Any such requests must be made in accordance with the requirement under applicable laws and regulations 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 can also email to customer.service@gtjas.com.hk, or call (852) 2509 7524 to make such request. The Client understands that a fee shall be charged by GTJA for repeated and unreasonable requests. For unreasonable requests which may bring risk to other individuals' legitimate rights or are not operationally/technically feasible, GTJA reserves the right to decline the Client's requests in accordance with applicable laws and regulations.
- (14) The Client acknowledges that if there is any leakage or loss of any personal data of the Client, or any other personal data breach event, while GTJA will take remedial measures in accordance with applicable laws and regulations and may notify or may not notify the Client in accordance with applicable laws and regulations. The Client acknowledges and agrees that GTJA may notify the Client of such event, if so notified, GTJA may use one or more methods, including without limitation, popping-up window notification on GTJA's website, sending text message/emails or making calls. The Client acknowledges that GTJA is deemed as satisfying its notification obligation under applicable laws and regulations upon taking one of the above notification action.

個人資料收集聲明
公司/機構戶口適用

- (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。

在本聲明中，

「國泰君安集團」意指國泰君安之控股公司、附屬公司或關聯公司及/或該等控股公司之附屬公司或關聯公司。

「個人資料」意指以電子方式或其他方式記錄的與已識別或可識別的自然人有關的各種資訊，即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。

- (2) 在國泰君安合理地要求客戶在開戶文件、國泰君安的移動應用程式（「移動應用程式」）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，國泰君安可以按本聲明第(4)段所述用途向下列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、認證、資料處理、財務、電腦、電訊、支付或結算、交易、執行、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列用途使用：
- (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帳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外國或本地之法律、規例（包括但不限於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）、任何相關司法管轄區內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、或金融服務提供者的自律組織或行業團體或協會所自行或按協議提供或發出的通知、指示或指引；
 - (viii) 為遵守制裁，或遵守防止或偵查洗錢、恐怖份子融資或其他非法活動所適用的法律和法規和國泰君安集團的政策、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上述第(3)段所述人士。客戶可以根據本聲明第(14)段聯繫國泰君安，要求提供(a)第三方/國泰君安集團內接收方的聯繫方式，以及(b)有關他們如何收集和處理客戶個人資料的更多詳情。國泰君安根據適用的法律和法規採取適當措施以保護從國泰君安轉移至該等第三方的客戶個人資料，包括但不限於與該等第三方訂立適當的合同安排。
- (6) 客戶明白及了解，在以下情況及在適用的法律或法規允許的範圍內，國泰君安可能會在未經客戶同意的情况下處理客戶的個人資料：
- (i) 如為締結或履行客戶為一方之任何合同所必需；
 - (ii) 如為履行適用的法律或法規規定的法定職責或義務所必需；
 - (iii) 如為應對公共衛生事件或在緊急情況下保護個人和財產安全所必需；
 - (iv) 在合理的範圍內，處理已經公開或通過其他合法渠道公開的個人資料；或
 - (v) 如其他適用的法律和法規所允許的情況。
- (7) 個人資料在「了解你的客戶」要求中的使用

客戶明白及同意國泰君安可能會通過移動應用程式收集並處理客戶某些個人資料，包括但不限於(i)姓名；(ii)生物識別信息，如臉部圖像和通過人臉識別獲得的關鍵特徵信息；(iii)銀行卡號；以及(iv)身份證件或護照。

客戶明白及了解，以此方式收集的個人資料將依據適用的法律和法規以及國泰君安集團的政策和程序僅用於滿足「了解你的客戶」的要求。

客戶可隨時根據本聲明第(13)段聯繫國泰君安撤消其同意，但客戶明白在撤消同意後國泰君安將無法繼續為客戶提供任何服務。

(8) 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。

如果客戶不再希望國泰君安將客戶的個人資料用作直接促銷，客戶可隨時根據本聲明第(13)段聯繫國泰君安撤消其同意。對將個人資料用作直接促銷之同意的撤消，不影響客戶對國泰君安將個人資料用於本聲明規定的其他用途之同意。

(9) 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。

如果客戶不再希望國泰君安將客戶的個人資料用作直接促銷，客戶可隨時根據本聲明第(14)段聯繫國泰君安撤消其同意。對將個人資料用作直接促銷之同意的撤消，不影響客戶對國泰君安將個人資料用於本聲明規定的其他用途之同意。

(10) 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，並即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相關監管機構及執法機關，以配合其履行關於中國金融市場的監管、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相關監管機構及執法機關，以配合其履行關於中國金融市場的監管、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。

客戶不能如上述向國泰君安提供個人資料或拒絕或撤消同意，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。

- (11) 客戶明白及了解，提供給國泰君安的某些個人資料可能構成敏感個人資料。國泰君安只為上述本聲明第(4)段之用途收集和處理這些資料。國泰君安承諾保護客戶的個人資料，並已就此採取措施。為了防止未經授權的人員或一方能夠存取客戶的個人資料，國泰君安已經採取了一系列技術性和組織性措施，以根據適用的法律和法規保護和保障客戶的個人資料。
- (12) 在受限於技術可行性的前提下，國泰君安將始終只為上述第(4)段之用途合理需要時保留客戶的個人資料，或依據適用的法律和法規及國泰君安集團政策和程序長期保留客戶的個人資料，或保留客戶的個人資料至收到客戶刪除個人資料之要求時。
- (13) 客戶可以查詢並要求國泰君安提供其個人資料的副本，及可以要求對其個人資料進行刪除、在需要時進行更正或撤消同意。在某些情況下，客戶還可能享有資料可攜權，要求國泰君安將客戶的個人資料轉移給第三方。任何此類要求必須依據適用的法律和法規要求提出，並應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。客戶還可以通過發送電郵至customer.service@gtjas.com.hk，或致電至(852) 2509 7524 以提出該等要求。客戶明白國泰君安將就重複且不合理的要求收取費用。對於可能給他人合法權利帶來風險或不具有操作/技術可行性的不合理請求，國泰君安保留依據適用的法律和法規拒絕客戶請求的權利。
- (14) 客戶明白，如果客戶的任何個人資料發生泄露或損失，或發生其他個人信息泄露事件，國泰君安會依據適用的法律和法規採取補救措施，並可能依據適用的法律和法規通知或不通知客戶。客戶明白及同意，國泰君安可能將此類事件通知客戶，在此情形下，國泰君安可能會使用一種或多種方式發送通知，包括但不限於在國泰君安網站上彈出視窗通知、發送短訊/電子郵件或致電。客戶明白，在採取上述通知行動其中之一後，國泰君安即被視為履行了適用的法律和法規項下的通知義務。