

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
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 / 擔保書 (所有擔保人之身份證明文件副本, 適用於保證金帳戶)
- 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 / Deed of Guarantee (copy of identity document of all guarantors, applicable to Margin account)
- 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

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✓)
☐ Cash 現金帳戶

☐ Margin 孖展帳戶

☐ Proprietary Account

☐ Client Account (Client Identity Undertaking should be signed)

☐ 自營帳戶

☐ 客戶帳戶 (需簽署客戶身分承諾書)

☐ Bank 銀行

☐ Broker/ Dealer 經紀人/經銷商

☐ Non-Bank Financial Institution 非銀行金融機構

☐ Mutual Fund 互惠基金

☐ Fund /Asset Manager 基金/資產經理

☐ 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

☐ 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

☐ Relevant Regulated Intermediary 相關受規管中介人¹
☐ 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說明:

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

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

☐ Swiss shares 瑞士股票

☐ 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 請說明:

☐ HK Stock Options 香港股票期權

☐ US Stock Options 美國股票期權

(Applicable to Professional Investors and Securities Margin Account Holders only)

(只適用於專業投資者並持有證券保證金帳戶之客戶)

☐ **US Stock Short Selling Trading Account (Applicable to Securities Margin Account Holders only)**

開通美國股票沽空交易帳戶 (只適用於持有證券保證金帳戶之客戶)

☐ **Futures 期貨帳戶**
☐ Proprietary Account

☐ Client Account (Client Identity Undertaking should be signed)

☐ 自營帳戶

☐ 客戶帳戶 (需簽署客戶身分承諾書)

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

☐ 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

¹ A Relevant Regulated Intermediary also refers to an LC or RI which (i) carries out proprietary trading; or (ii) provides securities brokerage services for another person in respect of orders placed through an account opened and maintained for that person. 相關受規管中介人指符合以下說明的持牌法團或註冊機構: (i)進行自營交易, 或(ii)就透過為另一人開立和維持的帳戶發出的交易指令向該人提供證券經紀服務。

☐ **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 ☐ 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 Access to Online Trading Platform 網上交易平台取覽 (Only applicable to account with internet trading services 只適用於開通網上交易服務之帳戶) ^ ^ Under this option, you will access Statements via Online Trading Platform. Other notifications or correspondences will be provided to you by E-mail. 如選取此項, 您將通過網上交易平台取覽結單, 其他通知或通訊資料以電郵提供。		
<input type="checkbox"/> By E-mail Address 電郵地址 <input type="checkbox"/> By Post to Correspondence Address 郵寄至通訊地址* * Paper Statement will be subject to an Annual Fee (Please refer to Fee Table) 郵寄紙張結單需收取年費 (請參閱收費表)		
Please provide relevant identity document and fill in details in following descending order of priority ² . 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。 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) Office Tel. No.: (國家區號) 辦公室電話號碼: ()	(Country Code) Mobile Phone No.: (國家區號) 手提電話號碼: ()	(Country Code) Fax No.: (國家區號) 傳真號碼: ()
Mobile Phone No. for OTP for Internet trading services of the Trading Account 獲取交易帳戶網上交易服務「一次性驗證碼」 <input type="checkbox"/> Same as above 同上 <input type="checkbox"/> Other Mobile Phone No. 其他 手提電話號碼: ()		
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_____		

² 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, 客戶需提供該表格內首述的身份證明文件, 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。但假若客戶持有任何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, 客戶需提供所有此等身份證明文件並填寫本表格相關部分。

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 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		
(5)				<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照		
(6)				<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照		

5 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 6. 如果不是, 請填寫 6)

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

<input type="checkbox"/> Mr.先生	English Name: 英文姓名:	ID Card No.: 身份證號碼:	Passport No.: 護照號碼:
<input type="checkbox"/> Ms.女士	Chinese Name: 中文姓名:	Place of Issue of ID Card: 身份證發出地:	Place of Issue of Passport: 護照發出地:
<input type="checkbox"/> Mrs.夫人			

Former Name ³ : 前名:	Country of Birth: 出生國家:	Date of Birth: 出生日期:
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³ Please provide certified true copies of documents proving alternation of name.

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			
Employer / Occupation Industry 僱主/職業行業 (Please refer Appendix for List of Industries and fill in the relevant number 行業列表請參考附錄，並填寫相關代號)			
Name of Employer: 受僱/自僱機構名稱:		Present Position: 現時職位:	
Office Address: 辦公室地址:		Country: 國家:	
Country Code) Office Tel. No. (Optional): (國家區號) 辦公室電話號碼(可選填): ()		Country Code) Fax No. (Optional): (國家區號) 傳真機號碼(可選填): ()	
Company E-mail Address (Optional): 公司電郵地址(可選填):			

7 Extract of decisions 決議摘錄
<p>EXTRACT OF DECISIONS 決議摘錄</p> <p>Extract of Resolutions of Board of Directors / Others* (please state): _____</p> <p>of _____ ("Applicant").</p> <p>_____ (「申請人」)之</p> <p>董事會決議 / 其他* (請註明) _____</p> <p>It was unanimously resolved by the applicant that: 申請人一致作出下列決議 / 決定：</p> <ol style="list-style-type: none"> One or more accounts ("Accounts") to be opened with Guotai Junan Securities (Hong Kong) Limited ("GTJAS") / Guotai Junan Futures (Hong Kong) Limited ("GTJAF") / Guotai Junan FX Limited ("GTJAFX")* 分別於國泰君安證券(香港)有限公司("GTJAS") / 國泰君安期貨(香港)有限公司 ("GTJAF") / 國泰君安外匯有限公司 ("GTJAFX") * 開立一個或多個帳戶。 The undersigned individuals are authorized to sign singly / jointly in any combination* on the Client Agreement for Securities Trading / Derivatives Trading / FX Trading* and Account Opening Form for and on behalf of the Applicant and to affix the Company chop where necessary; 以下授權人士個人 / 以任何形式共同* 簽署均可代表申請人在證券交易 / 衍生工具交易 / 外匯交易* 客戶協議書及開戶申請表格上簽名，必要時在表格上蓋章：

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

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

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

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

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

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

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

AS 2							
AS 3							
AS 4							

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

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

Signed by 簽署：

Chairman / Sole Director*

由主席 / 唯一董事* 簽署

Name 姓名：_____

Date 日期：_____

(* Delete as appropriate 請刪去不適用者)

8 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 ("HKSC") 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"), which has been provided to us and is posted on GTJA's website (www.gtjai.com). 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，該聲明已提供給吾等並在國泰君安的網站（www.gtjai.com）上發佈。吾等亦同意國泰君安可在通知吾等的情况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。
- ☐ 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. 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。
- ☐ 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. 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 Derivatives Trading (for Broker Client), 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、衍生工具（經紀人客戶）客戶協議書、外匯和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

APPENDIX – List of Industries No. 1 - 33 附錄 – 行業列表項目 1 – 33
 (updated in August 2022)

1. Beauty/Healthcare Services 美容/保健服務	2. Business Services 商業服務	3. Cash Intensive Business (e.g. Restaurant, Retail Store, etc) 現金密集型企業 (例如:餐廳、零售店等)
4. Casino and Gambling Related Business 賭場及其他與賭博相關的業務	5. Construction & Engineering 建築及工程	6. Dealers in Art, Antique or Auction houses 藝術、古董經銷商或拍賣行
7. Dealers in Car, Boat or Plane 汽車、船舶或飛機經銷商	8. Dealers in Jewel, Gem or Precious Metal 珠寶、寶石或貴金屬經銷商	9. Embassies 大使館
10. Entertainment 娛樂場所	11. Finance 金融	12. Insurance 保險
13. Legal 法律行業	14. Licensed non-Government Organization 經許可非政府組織	15. Logistics 物流業
16. Manufacturer of Ammunition and Weapon 彈藥及武器製造商	17. Manufacturing 製造業	18. Mining/Trading in Precious Metals, Oil or Natural Gas 貴金屬、石油或天然氣開採或貿易商
19. Money Services Business (e.g. Money Exchange, Money Remitters, Check Cashers) 貨幣服務提供商 (例如: 貨幣兌換、匯款或支票兌現)	20. Offshore Banks Located in Tax/Banking Havens 位於稅務/銀行避風港的離岸銀行	21. Pawnshop 當舖
22. Professionals (e.g. Solicitors, Accountant etc) 專業人士 (例如: 律師、會計師)	23. Public Services 公共服務	24. Real Estate 房地產
25. Startups and Fintech 初創及金融科技	26. Telecommunications 通訊業	27. Transportation 運輸業
28. Travel and Tourism 旅遊業	29. Utilities 公用事業	30. Virtual Currency 虛擬貨幣
31. Wholesale/Export/Import 批發/進出口	32. Investment holdings 投資控股	33. Others: Please state 其他: 請說明