

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 - CASH) 開戶申請表格 (持牌公司 - 現金帳戶)
 New Account 新開戶 **Account Reactivation 重新啟動不動戶** **Additional Account Opening 額外開戶**
Part A: Customer Particulars 客戶資料
1 SECURITIES ACCOUNT TYPE 證券帳戶類別 (Please tick appropriate box. 請在適當空格加✓)
 Cash 現金帳戶

 Delivery versus Payment ("DVP") 貨銀對付

 Custody 託管

 Proprietary Account 自營帳戶

 Managed Funds/Accounts 管理資金/賬戶
 (Master and sub-accounts structure, DVP only 只限貨銀對付)

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

 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述明:

 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

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

 Broker/ Dealer 經紀人/經銷商

 Fund Management/Asset Management 基金管理/資產管理

 Non-Bank Financial Institution 非銀行金融機構

Regulated by 監管方為: _____

Country 國家: _____

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:

 Please provide relevant identity document and fill in details in following descending order of priority².

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: 商業登記證發源地:		Name and no. of identity document: 身份證明文件名稱及號碼:

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。

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, 客戶需要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, 客戶需要提供所有此等身份證明文件並填寫本表格相關部分。

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: ()			
Do you require internet trading services? 您是否需要開通網上交易服務? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否					
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: ()					
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. Under this option, you will access Statements via Online Trading Platform. Other notifications or correspondences will be provided to you by E-mail. 只適用於開通網上交易服務之帳戶。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			
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 _____					
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 LIST OF DIRECTORS 董事名單					
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? <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有 (If yes, please specify 如有，請註明帳號: _____)					
Signed by Salesperson 前線同事簽署					
To the best of my knowledge and belief, I hereby declare that I have collected the necessary documentary proof and verified the information in this form to be true and correct. 据本人所知及所信，我謹此聲明我已取得所需證明文件及核對本表格之資料均為真實及正確。					
Signature 簽署 _____		Name 姓名 _____		Date 日期 _____	

Client Code: _____

Client Name: _____

7	ADDITIONAL ACCOUNT TYPE 額外帳戶類別
<input type="checkbox"/>	Stock Options 股票期權帳戶 <input type="checkbox"/> HK Stock Options 香港股票期權
<input type="checkbox"/>	Futures 期貨帳戶 <input type="checkbox"/> HK Futures 香港期貨 <input type="checkbox"/> US Futures 美國期貨
<input type="checkbox"/>	Foreign Exchange Trading 外匯交易帳戶

8	DECLARATION 聲明
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- (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。

We have carefully read and understood the contents of the Terms and Conditions for Securities Trading for Institutional Professional Investor Client, Margin Agreement, Client Agreement for Derivatives Trading and Client Agreement for Foreign Exchange and Bullion Trading (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、證券保證金交易協議書、衍生工具交易客戶協議書 及 外匯和貴金屬交易客戶協議 (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。吾等有能力和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

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)

Full Name of Witness (Print) 見證人姓名(請以正楷書寫)

Date 日期

Witness' Qualification 見證人職位