

**Update of Client's Information (Individual/ Joint Client)**  
**客戶資料更新表格 (個人/聯名帳戶)**

To:

- Guotai Junan Securities (Hong Kong) Limited  
 Guotai Junan Futures (Hong Kong) Limited  
 Guotai Junan FX Limited  
 Guotai Junan Assets (Asia) Limited

致:

- 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  
 國泰君安資產管理(亞洲)有限公司

Account Name 帳戶名稱	
Account Number 帳戶號碼	
Name of Joint Account Holder 聯名帳戶持有人姓名 (For Joint Account only 只適用於聯名帳戶)	

- Please fill out those sections of the form which you have not provided before or if the relevant information which you previously provided to us has changed, that you have to inform us of the change(s). Also we shall assume there is no change of your relevant information which you have not provided in the form.  
如閣下從未向本公司就此表格相關部份提供資料或有關資料已更改而需要通知本公司，請填妥此表格相關部份。另外，如在表格上並未有提供資料，閣下的現有有關資料會被視為並無更改。
- You should undertake to promptly notify us if you become or cease be employed by any licensed or registered person to carry on regulated activities as defined in the Ordinance.  
閣下必須承諾如將受僱或不再受僱於受任何持牌法團或註冊機構從事條列界定的受規活動時，立即通知本公司。
- Please note that when there is update of customer profile information for each holder of a Joint Account at the same time, each holder is required to submit this form separately.  
請注意，如各聯名帳戶持有人之個人資料需同時更改，各持有人需個別提交此表格。
- Please note that the contact information of primary account holder would be treated as contact information of the Joint Account.  
請注意，第一帳戶持有人之通訊信息將視作聯名帳戶之通訊信息。
- Please note update of any customer profile information will be applied to all of your accounts maintained with Guotai Junan Group.  
請注意，客戶個人資料之更改將適用於閣下於國泰君安集團開立之所有帳戶。

**(I) CHANGE OF CUSTOMER PROFILE INFORMATION 更改客戶個人資料 (Please tick the appropriate box 請勾選適當空格)**

\* Please delete as inappropriate 請刪去不適用者

<input type="checkbox"/> Change of Correspondence Address 更改通訊地址	
New Correspondence Address 新通訊地址	
<input type="checkbox"/> Change of Residential Address 更改住宅地址	
Please provide the original or certified true copy of bank statements, utility bills, etc which was issued within the latest 3 months as address proof. 請提供最近3個月內發出的公共事業帳單、銀行結單等正本或經簽名驗證複印本作地址證明。	
New Residential Address 新住宅地址	
<input type="checkbox"/> Change of mailing method 更改通訊方式	
<input type="checkbox"/> By Post to Correspondence Address 郵寄至通訊地址* <input type="checkbox"/> By Email Address 電郵地址 <input type="checkbox"/> By Company Email Address 公司電郵地址 *Paper Statement will be subject to an Annual Fee (Please refer to Fee Table) 郵寄紙張結單需收取年費(請參閱收費表)	
<input type="checkbox"/> Update email address 更新電郵地址	
New Email address 新電郵地址	
<input type="checkbox"/> Subscribe / Unsubscribe* research reports sent by email 選擇 / 拒絕* 以電郵收取研究報告	

<input type="checkbox"/> <b>Change of Telephone Number 更改電話</b>	
(Country Code) Mobile Phone No. (國家區號) 手提電話號碼	( )
(Country Code) Home Tel. No. (國家區號) 住宅電話號碼	( )
(Country Code) Office Tel. No. (國家區號) 辦公室電話號碼	( )

<input type="checkbox"/> <b>Change of OTP setting 更改“一次性驗證碼”設置</b>	
<input type="checkbox"/> Mobile Phone No. for OTP 獲取“一次性驗證碼”手提電話號碼	( )

<input type="checkbox"/> <b>Change of Nationality 更改國籍</b>	New Nationality 新國籍:
請提供經簽名驗證的身份證或護照複印本 <i>Please provide the certified true copy of identity card / passport</i>	

<input type="checkbox"/> <b>Change of Tax Residency 更改稅務居民所在國家/司法管轄</b>	New Tax Residency 新稅務居民所在國家/司法管轄:
請填寫及簽署通用報告準則 (CRS) 自我聲明書及(或) 個人<<海外帳戶稅收合規法案>>自行認證。 <i>Please provide the Common Reporting Standards (CRS) Self-Certification Form and (or) Individual FATCA Self-Certification.</i>	

<input type="checkbox"/> <b>Change of Employment 更改就業情況</b>		
<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Unemployed 無業 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Student 學生		

<b>Employer / Occupation Industry (Please select either one) 僱主/職業行業(只選一項):</b>		
<input type="checkbox"/> Beauty/Healthcare Services 美容/保健服務	<input type="checkbox"/> Business Services 商業服務	<input type="checkbox"/> Cash Intensive Business (e.g. Restaurant, Retail Store etc) 現金密集型企業 (例如:餐廳、零售店等)
<input type="checkbox"/> Casino and Gambling Related Business 賭場及其他與賭博相關的業務	<input type="checkbox"/> Construction & Engineering 建築及工程	<input type="checkbox"/> Dealers in Art, Antique or Auction houses 藝術、古董經銷商或拍賣行
<input type="checkbox"/> Dealers in Car, Boat or Plane 汽車、船舶或飛機經銷商	<input type="checkbox"/> Dealers in Jewel, Gem or Precious Metal 珠寶、寶石或貴金屬經銷商	<input type="checkbox"/> Embassies 大使館
<input type="checkbox"/> Entertainment 娛樂場所	<input type="checkbox"/> Finance 金融	<input type="checkbox"/> Insurance 保險
<input type="checkbox"/> Legal 法律行業	<input type="checkbox"/> Licensed non-Government Organization 經許可非政府組織	<input type="checkbox"/> Logistics 物流業
<input type="checkbox"/> Manufacturer of Ammunition and Weapons 彈藥及武器製造商	<input type="checkbox"/> Manufacturing 製造業	<input type="checkbox"/> Mining/Trading in Precious Metals, Oil or Natural Gas 貴金屬、石油或天然氣開採或貿易商
<input type="checkbox"/> Money Services Business (e.g. Money Exchange, Money Remitters, Check Cashers) 貨幣服務提供商 (例如: 貨幣兌換、匯款或支票兌現)	<input type="checkbox"/> Offshore Banks Located in Tax/Banking Havens 位於稅務/銀行避風港的離岸銀行	<input type="checkbox"/> Professionals (e.g. Solicitors, Accountants, etc) 專業人士 (例如: 律師、會計師)
<input type="checkbox"/> Public Services 公共服務	<input type="checkbox"/> Real Estate 房地產	<input type="checkbox"/> Startups and Fintech 初創及金融科技
<input type="checkbox"/> Telecommunications 通訊業	<input type="checkbox"/> Transportation 運輸業	<input type="checkbox"/> Travel and Tourism 旅遊業
<input type="checkbox"/> Utilities 公用事業	<input type="checkbox"/> Virtual Currency Exchanges 虛擬貨幣兌換	<input type="checkbox"/> Wholesale/Export/Import 批發/進出口

<input type="checkbox"/> Other (please state) 其他(請註明):	
Name of Employer 僱主/自僱機構名稱	
Position 職位	
Office Address 辦公室地址	
Company Email Address (Optional) 公司電郵地址(可選填)	

<input type="checkbox"/> <b>Change of Financial Profile 更改財務狀況</b>			
Annual Income (HK\$) 全年收入(港幣)	<input type="checkbox"/> <= \$250,000 <input type="checkbox"/> \$1,000,001-\$5,000,000	<input type="checkbox"/> \$250,001-\$500,000 <input type="checkbox"/> \$5,000,001-\$10,000,000	<input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> >\$10,000,000 please specify 須註明: _____
Net Worth(HK\$) 淨資產(港幣)	<input type="checkbox"/> <=\$500,000 <input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> >\$100,000,000 please specify 須註明: _____	<input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> \$10,000,001-\$50,000,000	<input type="checkbox"/> \$1,000,001-\$5,000,000 <input type="checkbox"/> \$50,000,001-\$100,000,000
Source of Funds 資金來源	<input type="checkbox"/> Salary/Business Income 薪俸/營業收入 <input type="checkbox"/> Return on Investments 投資回報	<input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Others :其他 _____	
Source of Wealth 財富來源	<input type="checkbox"/> Salary/Business Income 薪俸/營業收入 <input type="checkbox"/> Sale of Investments 投資回報 <input type="checkbox"/> Retirement Funds 退休金 <input type="checkbox"/> Others : 其他 : _____	<input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Inheritance/Gift 遺產/贈物 <input type="checkbox"/> Sale of Property/Assets 出售物業/資產	
<input type="checkbox"/> <b>Other Disclosures 其他資料披露</b>			
Are you the ultimate beneficial owner ( "UBO" ) of this Account / person ultimately benefiting from the transactions and bearing the risk? 你是否此帳戶的最終實益擁有人/最終受益於交易及承擔風險人士/最終負責發出指示的人士? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是 (If no, full KYC information and Identity documents of 3 <sup>rd</sup> party are required. 如果不是，需提供第3方之詳細資料及身份證明文件。)			
Are you the person ultimately responsible for originating instructions for the account? 你是否向戶口最終負責發出指示的人士? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是 (If no, full KYC information and Identity documents of 3 <sup>rd</sup> party are required. 如果不是，需提供第3方之詳細資料及身份證明文件。)			
Have you been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements? 您是否曾經涉及違法或違反監管守則而被捕/受審/被判刑/被紀律處分? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 (If yes, please specify 如果是,請述明具體: _____)			
Are you or your immediate family members politically exposed person ( "PEP" ), a person connected with PEP, senior government official or senior executive of a state-owned corporation? 您或您的直系親屬是否政治人物或與其有關連之人士、高級政府官員或國有企業高級行政人員? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 (If yes, please specify 如果是,請述明具體: _____)			
Is your spouse currently maintaining Account with the companies of Guotai Junan Group? 您的配偶是否在國泰君安集團的公司開有帳戶? <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有 (If yes, please specify 如有, 請述明帳號: _____)			
Are you, either alone or with your spouse, in control of 35% or more of the issued shares of any corporate client of Guotai Junan Group? 您是否個人或與您的配偶共同控制任何國泰君安集團的公司客戶35%以上的股權? <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有 (If yes, please specify 如有, 請述明帳號: _____)			

**(II) CHANGE OF TRADING INFORMATION 更改交易資料 (Please tick the appropriate box 請勾選適當空格)**

\* Please delete as inappropriate 請刪去不適用者

<input type="checkbox"/> <b>Request / Cancel * Internet Trading Function 增加 / 取消* 網上交易服務</b> Register of Mobile Phone No. for OTP is required for Internet Trading Function 如增加網上交易服務，必需登記手提電話號碼以獲取“一次性驗證碼”
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<input type="checkbox"/> <b>Request/ Cancel* Non-HK Market Trading Function 開通 / 取消* 香港以外的其他交易市場</b>	
<input type="checkbox"/> Australian shares 澳洲股票	<input type="checkbox"/> B shares 中國 B 股
<input type="checkbox"/> Bonds 債券	<input type="checkbox"/> Canadian shares 加拿大股票 <sup>(a)</sup>
<input type="checkbox"/> French shares 法國股票	<input type="checkbox"/> Funds 基金
<input type="checkbox"/> German shares 德國股票	<input type="checkbox"/> Japanese shares 日本股票
<input type="checkbox"/> Korean shares 韓國股票	<input type="checkbox"/> Malaysian shares 馬來西亞股票
<input type="checkbox"/> Singaporean shares 新加坡股票	<input type="checkbox"/> Taiwanese shares 台灣股票
<input type="checkbox"/> UK shares 英國股票	<input type="checkbox"/> US futures <sup>(b)</sup> 美國期貨
<input type="checkbox"/> US shares <sup>(b)</sup> 美國股票	<input type="checkbox"/> Shanghai-Hong Kong Stock Connect 滬港通
<input type="checkbox"/> Shenzhen-Hong Kong Stock Connect 深港通	
<input type="checkbox"/> Vietnamese shares 越南股票(Applicable to Professional Investors only 只適用於專業投資者)	
<input type="checkbox"/> Structured product 結構性產品(Applicable to Professional Investors only 只適用於專業投資者)	

**Reason for Cancellation 取消原因:**

Please complete and return (a) Canadian Market Data Agreement and NR Form or (b) W-8BEN/ W-8BEN-E/W9/W8-IMY.  
 請填寫並交回表格 (a) 加拿大市場數據協議書及 NR Form 或 (b) W-8BEN/W-8BEN-E/W9/W8-IMY

**Declaration & Signature 聲明及簽署**

I/We hereby declare that the information given in this form is true and correct and that I/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. 本人/吾等謹此聲明表格上提供之所有資料均為真實及正確，本人/吾等並未刻意隱瞞任何重要事實。除上述提供的資料外，本人/吾等清楚貴司會要求本人/吾等提供更多相關的資料或證明文件。

<b>Client Signature 客戶簽署</b>	<b>Date 日期</b>

For GTJA Use Only	Signature Verified	Inputted	Reviewed
Signature:			
Date:			