

**Risk Disclosure Statement**

**This is an important document. Appointing a person as your attorney to trade on your behalf will give rise to certain risks that you should be aware and be prepared to accept. You should NOT sign this power of attorney before you fully understand the legal consequences. Please consult your legal adviser if you have doubt.**

**風險披露聲明**

這是一份重要文件。當閣下授權他人操作閣下之帳戶，應該明白及承擔此授權行為所引致的若干風險。倘若閣下未能完全明白簽署本授權書之法律後果，請勿簽署本授權書。如有疑問，應諮詢閣下的法律顧問。

To: Guotai Junan Securities (Hong Kong) Limited ("GTJAS")      致： 國泰君安證券(香港)有限公司 ("國泰君安證券")  
 Guotai Junan Futures (Hong Kong) Limited ("GTJAF")      國泰君安期貨(香港)有限公司 ("國泰君安期貨")  
 Guotai Junan FX Limited ("GTJAFX")      國泰君安外匯有限公司 ("國泰君安外匯")  
 27<sup>th</sup> Floor, Low Block, Grand Millennium Plaza      香港中環皇后大道中 181 號  
 181 Queen's Road Central, Hong Kong      新紀元廣場低座 27 樓

**POWER OF ATTORNEY TO OPERATE TRADING ACCOUNT**  
**第三者操作帳戶授權書**

Account Name: 戶口名稱:		Account No.: 戶口號碼:	
Account Type: 戶口類別:	Please tick appropriate box. 請在適當空格加✓ <input type="checkbox"/> Securities 證券 <input type="checkbox"/> Futures 期貨 <input type="checkbox"/> FX 外匯		

I, the undersigned, holder of the above trading account ("My Account"), hereby authorize and appoint the following person as my lawful attorney ("My Attorney"), to act for me and on my behalf in the same manner and with the same force and effect as I might and could do in relation to My Account.

本人為以上帳戶擁有人("本人帳戶")，特此授權及委任以下人士為本人的合法授權人("本人授權人") 辦理有關本人帳戶的事宜，該授權人的行為擁有如同本人親自辦理的效力及效果。

Attorney's Name in English 被授權人英文姓名 (漢語拼音)		
Attorney's Name in Chinese 被授權人中文姓名		
Attorney's Identity Card/Passport No. 被授權人身份證/護照號碼		
Attorney's Address 被授權人地址		
Attorney's Contact Phone Number 被授權人聯絡電話		
Attorney's Highest Education Level (Refer Appendix) 被授權人的最高學歷 (參照附錄)		
Attorney's Investment Experience 被授權人投資經驗	Investment Products 投資產品 a) Stocks 股票 b) Bonds 債券 c) Futures & Options 期貨及期權 d) Funds 基金 e) Structured Products 結構性產品 f) Forex 外匯	Years of Experience 經驗年期 a) b) c) d) e) f)
Is the Attorney an employee of Guotai Junan? 被授權人是否國泰君安僱員?	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否
Is the Attorney currently maintaining account with Guotai Junan? 被授權人是否在國泰君安開有帳戶?	<input type="checkbox"/> Yes 是 Account No. 帳戶號碼: _____	<input type="checkbox"/> No 否
*Attorney's Relationship with Client *被授權人與客戶之關係		
Reason for the Authorization 授權的原因		

**\*Please provide certified true copy of proof of relationship 請提供經簽名驗證之關係證明副本**



**國泰君安國際**

GUOTAI JUNAN INTERNATIONAL

27<sup>TH</sup> 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

I hereby authorize GTJAS, GTJAF and/or GTJAFX to follow my Attorney's instructions, oral or written, whether by telephone or facsimile transmission, as if directly instructed by me, with respect to buy, sell and/or give instructions relating to trading of securities, futures, options and/or foreign exchange in My Account.

本人授權國泰君安證券、國泰君安期貨及/或國泰君安外匯按照本人授權人的口頭或書面指示，不論該等指示是以電話或傳真傳遞方式，有如遵循本人的指示般，執行及採取透過本人帳戶買入、賣出及/或發出有關證券、期貨、期權、及/或外匯交易的指示的授權行動。

I understand that all such transactions conducted by My Attorney are at my own risk. I hereby confirm that any transaction effected by GTJAS, GTJAF and/or GTJAFX on the basis of instructions, oral or written, given by My Attorney aforesaid shall be binding upon me whether made with or without my knowledge.

本人明白需要承受本人的授權人因執行上述行動所帶來的風險。本人僅此確認，國泰君安證券、國泰君安期貨及/或國泰君安外匯按照本人授權人執行的口頭或書面指示，不論本人是否認知，均視作對本人具有約束效力。

I further agree to be fully responsible for any acts or omissions of My Attorney and to keep GTJAS, GTJAF and/or GTJAFX fully indemnified against all losses or damages that GTJAS, GTJAF and/or GTJAFX may suffer or incur as a result of such acts or omissions.

本人進一步同意對本人授權人之作為或疏忽負上全責，並就國泰君安證券、國泰君安期貨及/或國泰君安外匯可能因此蒙受或承擔之損失或損害，作出全數彌償。

The authority given herein shall remain valid for a period of twelve (12) months' commencing from the date hereof. The authorization given hereunder shall be deemed to be renewed if GTJAS, GTJAF and/or GTJAFX give me a written reminder at least fourteen (14) days prior to the expiry date of the relevant authorization, and I do not object to such deemed renewal before such expiry date.

此授權書之有效期為本授權書簽署日起計 12 個月。國泰君安證券、國泰君安期貨及/或國泰君安外匯可在有效期限屆滿前最少 14 天以書面通知本人此授權書自動續期 12 個月，如在期限屆滿日國泰君安證券、國泰君安期貨及/或國泰君安外匯沒有收到本人通知要求撤銷此授權書，此授權書將會按照相同條款自動續期。

In witness whereof the Client has signed this Authorization the \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_.

本授權書於 20\_\_\_\_\_年\_\_\_\_\_月\_\_\_\_\_日在見證下簽署。

**Signed Sealed and Delivered by the Client**

客戶簽署、蓋章及交付

**Specimen Signature of the Attorney**

被授權人簽署

Client Name 客戶姓名:

Attorney's Name 被授權人姓名:

**The Client's Signature is Witnessed By**

客戶簽名的見證人

**The Attorney's Signature is Witnessed By**

被授權人簽名的見證人

Witness Name 見證人姓名:

Witness Name 見證人姓名:

Witness' Qualification 見證人職位/資格:

Witness' Qualification 見證人職位/資格:

**Note: (1) Please attached a certified true copy of the identity card or passport of the Attorney.**

請附上被授權人的經簽名驗證之身份證/護照副本。

- (2) You may request Guotai Junan's employee to witness your signature, sign on the Witness Signature section on the Power of Attorney. Where signing the Power of Attorney in the presence of Guotai Junan's employee is not possible, you should arrange to have the signed Power of Attorney certified by a Justice of the Peace (JP), or a professional person such as certified public accountant (CPA), lawyer or notary public. PRC clients can obtain verification at Notarial Offices in the PRC.**

請一位在場的國泰君安僱員見證您(們)的簽字，並在開戶申請表格的授權書欄上簽名。如授權書並非在國泰君安僱員面前簽立，應由太平紳士、執業會計師、律師或公證人加以簽名驗證作實（中國客戶可在國內公證機關辦理公證手續）。

- (3) This standing authority must be submitted in its original form for it to be effective.**

客戶必須將本授權書的正本交到國泰君安，方為有效。

- (4) Please send the original form to us by post or by hand to the above address.**

請將本授權書以親身或郵遞方式交到國泰君安上述地址。

Appendix 附錄
Education Level 學歷程度
a) Primary or below 小學或以下 b) Secondary or post-secondary 中學或專上學院 c) University or above (not related to Economics / Finance / Accounting) 大學或以上 (非跟經濟 / 金融 / 會計相關) d) University or above (related to Economics / Finance / Accounting) / relevant professional qualifications <sup>^</sup> or licensed to carry out regulated activities in the financial industry, including insurance 大學或以上 (跟經濟 / 金融 / 會計相關) / 相關的專業資格 <sup>^</sup> 或持有相關牌照在金融行業 (包括保險業在內) 從事受規管活動 <sup>^</sup> Economics / Finance / Accounting related professional qualifications, including but not limited to: 跟經濟 / 金融 / 會計相關的專業資格包括, 但不限於: ACA, ACCA, ACMA, AAIA, CPA, CMA, CGA, RFP, CFP, CFA, FRM, CPRM or PRM

For Internal Use Only 只限內部使用
To be completed by Frontline Staff 由前線同事填寫
Please provide your comments that the authorization is <b>reasonable and necessary</b> from KYC perspective to support the approval (Including but not limited to customer background, mode of introduction and period) 請提供意見, 從“認識你的客戶”角度來看, 此授權是 <b>合理和必須</b> 的, 以支持批核 (包括但不限於客戶背景, 認識客戶方式及年期)
<hr/> <hr/> <hr/>
<input type="checkbox"/> With proof of relationship 有提供關係證明 <input type="checkbox"/> POA is not SFC licensed person (attached the proof) 授權人非證監持牌人士(附證明) <input type="checkbox"/> POA is SFC licensed person with employer consent letter 授權人為證監持牌人士附有僱主同意信



To be completed by Client Onboarding Team 由客戶資料管理組同事填寫

Does the Authorized person also being authorized to operate other accounts?  
授權人是否同時被授權操作其他戶口?

- No 沒有
- Yes 有(If yes, please specify 如有，請說明: \_\_\_\_\_)

Does the account have more than 1 authorized person?  
此帳戶是否有多於一名授權人?

- No 沒有
- Yes 有(If yes, please specify 如有，請說明: \_\_\_\_\_)

\_\_\_\_\_  
Signature 簽署

\_\_\_\_\_  
Name 姓名

\_\_\_\_\_  
Date 日期

To be completed and approved by Responsible Officer 由負責人員填寫及批核

Please provide your comments or rationale for approval / rejection to the authorization  
請提供意見或理由批准/拒絕授權

- Approved 批准 \_\_\_\_\_  
\_\_\_\_\_
- Rejected 拒絕 \_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Signature 簽署

\_\_\_\_\_  
Name 姓名

\_\_\_\_\_  
Date 日期

To be Completed by COB 由客戶資料管理組填寫

	Signature Verified and Doc Checked	System Inputted	Reviewed
Signature			
Print Name			
Date			