

**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  
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  
Website 網址: www.gtjai.com

Client Code: \_\_\_\_\_ AE Code: \_\_\_\_\_

Related Account: \_\_\_\_\_

Checked by: \_\_\_\_\_ Date: \_\_\_\_\_

**ADDITIONAL ACCOUNT OPENING FORM (INDIVIDUAL/JOINT ACCOUNT) 額外開戶申請表格(個人/聯名帳戶)**

**#Only applicable to client who hold active account with Guotai Junan Group Company (Personal Information Collection Statement, Client Risk Profiling Questionnaire(s), Self-certification on FATCA and CRS are required for client who didn't submit before)**

**只適用於持有國泰君安集團公司有效帳戶之客戶 (若未有提交過個人資料收集聲明、風險承受能力問卷、海外帳戶稅收合規法案及通用報告準則自我聲明書, 需額外提交)**

Based on the information of my/our Existing Account with Guotai Junan Securities (Hong Kong) Limited/Guotai Junan Futures (Hong Kong) Limited/Guotai Junan FX Limited ( "Guotai Junan Group Company" ), I/we hereby provide the following additional information for the purpose of opening additional account.

根據本人/吾等在國泰君安證券(香港)有限公司/國泰君安期貨(香港)有限公司/國泰君安外匯有限公司( "國泰君安集團公司" )之現有帳戶的資料, 本人/吾等現提供以下附加資料作為開通額外帳戶之用。

Existing Account Number 現有帳號: \_\_\_\_\_

All my/our information currently maintained by Guotai Junan Group Company is up-to-date, true and valid. You could rely on such information for the purpose of opening additional account.  
保留於國泰君安集團公司之所有本人/吾等資料為最新, 準確及有效。閣下可依賴該等資料作為開通額外帳戶之用。

To update my/our information, I/we have completed the "Update of Client's Information (Individual/Joint Client)" Form. I/we hereby attach the duly completed Form together with the provision of the following additional information for the opening of additional account with Guotai Junan Group Company.  
本人/吾等現附上已完成及簽署之"客戶資料更新表格(個人/聯名帳戶)"以更新本人/吾等資料並同時提供以下資料作為於國泰君安集團公司額外開戶申請之用。

**Opening of Securities Trading Account 開通證券交易帳戶:**

Account Type:

Cash 現金帳戶  Margin 孖展帳戶 (Please provide agreement for securities margin trading 請同時提供證券保證金交易協議書)

Do you require internet trading services of Securities Trading Account? 您是否需要開通證券交易帳戶之網上交易服務?

Yes 是  No 否

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 (Applicable to Professional Investors only 只適用於專業投資者)

**Opening of Stock Options Trading Account (Applicable for Securities Account Holder) 開通股票期權交易帳戶 (適用於持有證券帳戶客戶):**

Do you require internet trading services of Stock Options Trading Account? 您是否需要開通股票期權交易帳戶之網上交易服務?

Yes 是  No 否

Please specify 請述明:

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)

**Opening of US 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)**

**Opening of CIES Account (Please provide CIES relevant forms and documents) 開通投資移民證券交易帳戶 (請同時提供投資移民相關表格及文件):**

Do you require internet trading services of Securities Trading Account? 您是否需要開通證券交易帳戶之網上交易服務?

Yes 是  No 否

Do you require trading in non-HK stocks? 您是否需要開通港股以外的其他股票交易?

Yes 是  No 否

Please specify 請述明:

Bonds 債券  Funds 基金

**Opening of Futures Trading Account (Please provide Trading Platform Application and Termination form and Standing Authority) 開通期貨交易帳戶 (請同時提供申請及終止交易平台表格及常設授權):**

Do you require internet trading services of Futures Trading Account? 您是否需要開通期貨交易帳戶之網上交易服務?

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

**Opening of Foreign Exchange Trading Account (Please provide Standing Authority) 開通外匯交易帳戶 (請同時提供常設授權):**

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?

Yes 是  No 否

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

**DECLARATION 聲明**

I/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). I/We understand that I/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. I/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 me/us and that you reserve the right to reject our application.  
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/吾等清楚閣下會要求本人/吾等提供更多相關的資料或證明文件。本人/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本人/吾等, 並清楚閣下保留拒絕本人/吾等開戶申請之權力。

(Applicable to PRC domestic investors) I/We undertake that the sources of my/our investment capital are legal and compliant with applicable laws. I/We declare that neither illegal nor non-compliant actions such as foreign exchange ( "FX" ) evasion, illegal FX arbitrage, illegal FX transactions, evasion of limit control have ever been carried out, and no violation of provisions of the administration of foreign exchange under the State Council (and its branches) on FX management.

(適用於境內投資者) 本人/吾等承諾本人/吾等投資資金來源合法合規，不存在逃匯、非法套匯、非法買賣外匯、逃避限額監管等違法違規行為，未違反國務院外匯管理部門及其分支機構對於外匯管理的規定。

I/We request you to open the above additional Account(s) 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 .

本人/吾等向閣下申請開立以上額外帳戶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/股票期權/衍生工具/外匯交易之條例及規則。

I/We have carefully read and understood the English or Chinese contents of the Client Agreement for  Securities Trading  Stock Options Trading (except US stock options trading)  Derivatives Trading  Foreign Exchange Trading  US Securities Trading (Segregated Account) Services, including the Risk Disclosure Statement (each an "Agreement" ) and that the contents of each Agreement have been provided and fully explained to me/us in a language which I/we understand. I/We accept, as evidenced by my/our signature(s) below, all the terms of each Agreement and agree to be bound by each Agreement as amended or supplemented from time to time.

本人/吾等已仔細審閱並理解  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 客戶協議書(包括風險披露聲明)( "協議" )的全部內容，且協議及其內容已以本人/吾等明白的語言(英文或中文)向本人/吾等提供及作出充分的解釋。本人/吾等接受協議的全部條款和細節，並同意接受協議(及其不時修訂及補充的條款和細節)之約束。

I/We acknowledge that I/we have been invited to ask questions about the content of the client agreement, commission and fees schedules, the Risk Disclosure Statement as well as the Disclosure on Best Execution and I/we am/are invited to take independent advice if I/we wish. I/We am/are satisfied with the explanation and clarification provided to me/us. I/We declare that I/we am/are willing and capable of fulfilling the duties and obligations as specified in each Client Agreement.

本人/吾等確認本人/吾等被邀請就客戶協議書之內容、佣金及於服務收費表、風險披露聲明及以最佳條件執行交易披露文件提出問題及如本人/吾等有此意願徵求獨立的意見。本人/吾等滿意就相關問題的解釋和說明。本人/吾等在此聲明本人/吾等有能力和意願履行此協議規定的責任和義務。

**SIGNED by Client 客戶簽署**

Primary Client Signature 客戶簽名

Primary Client Name (Print) 客戶姓名 (請書寫)

Date 日期

**SIGNED by Joint Client 聯名客戶簽署**

Joint Client Signature 聯名客戶簽名

Joint Client Name (Print) 聯名客戶姓名 (請書寫)

Date 日期

**Securities and/or Stock Options 證券及/或股票期權帳戶**

**SIGNED and DECLARED by Licensed Representative** who has provided and explained to the Client the following client agreement(s):

- Client Agreement for Securities Trading
- Client Agreement for Stock Options Trading
- Client Agreement for US Securities Trading (Segregated Account) Services

including the Risk Disclosure Statements of the respective client agreements and Disclosure on Best Execution in the language of the Client' s choice; and has invited Client to read the Risk Disclosure Statements of the respective client agreements and Disclosure on Best Execution, to ask questions and to take independent advice if Client wish.

向客戶提供並解釋下列客戶協議書：

- 證券交易客戶協議書
- 股票期權交易客戶協議書
- 美國證券交易(獨立帳戶)服務客戶協議書

包括有關上述客戶協議書中各自的風險披露聲明及以最佳條件執行交易披露文件，並邀請客戶仔細審閱和就該等客戶協議書中各自的風險披露聲明及以最佳條件執行交易披露文件提出問題，及如客戶有此意願徵求獨立的意見的持牌代表簽署

Signature of Licensed Representative 持牌代表簽署

Full Name of Licensed Representative (Print) 持牌代表姓名(請以正楷書寫)

CE Number of Licensed Representative 持牌代表中央編號

Date 日期

**Futures 期貨帳戶**

**SIGNED and DECLARED by Licensed Representative** who has explained and provided to the Client the Client Agreement For Derivatives Trading including the Risk Disclosure Statements and Disclosure on Best Execution in the language of the Client' s choice; and has invited Client to read the Risk Disclosure Statements and Disclosure on Best Execution, to ask questions and to take independent advice if Client wish.

向客戶提供並解釋此衍生工具交易客戶協議書包括其中有有關風險披露聲明及以最佳條件執行交易披露文件，並邀請客戶仔細審閱和就該風險披露聲明及以最佳條件執行交易披露文件提出問題，及如客戶有此意願徵求獨立的意見的持牌代表簽署

Signature of Licensed Representative 持牌代表簽署

Full Name of Licensed Representative (Print) 持牌代表姓名(請以正楷書寫)

CE Number of Licensed Representative 持牌代表中央編號

Date 日期

	<p><b>FX 外匯帳戶</b>  <b>SIGNED and DECLARED by Licensed Representative</b> who has provided and explained to the Client the Client Agreement for Foreign Exchange Trading including the Risk Disclosure Statement and Disclosure on Best Execution in the language of Client's choice; and has invited Client to read the Risk Disclosure Statement and Disclosure on Best Execution, to ask questions and take independent advice if Client wish. 向客戶提供並解釋此外匯交易客戶協議書包括其中有關風險披露聲明及以最佳條件執行交易披露文件並邀請客戶仔細審閱和就該風險披露聲明及以最佳條件執行交易披露文件提出問題,及如客戶有此意願徵求獨立的意見,的持牌代表簽署</p> <p>_____</p> <p>Signature of Licensed Representative 持牌代表簽署</p> <p>_____</p> <p>Full Name of Licensed Representative (Print) 持牌代表姓名(請以正楷書寫)</p> <p>_____</p> <p>CE Number of Licensed Representative 持牌代表中央編號</p> <p>_____</p> <p>Date 日期</p>
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**SIGNED and DECLARED by Account Executive 客戶主任簽署及聲明**  
 I hereby confirm that I have carried out the necessary Customer Due Diligence ( "CDD" ) and Know Your Client ( "KYC" ) procedures according to the Anti Money Laundering Manual, Customer Due Diligence Manual and Client Identity Rule Policy Manual of GTJA Group for the above client(s).  
 本人確認已根據我司的反洗錢手冊、客戶盡職審查手冊及客戶身分規則的政策，對上述客戶貫徹執行必需的客戶盡職審查及認識你的客戶程序。

\_\_\_\_\_

Signature of Account Executive 客戶主任簽署

\_\_\_\_\_

Full Name of Account Executive (Print) 客戶主任姓名(請以正楷書寫)

\_\_\_\_\_

CE Number of Account Executive 客戶主任中央編號

\_\_\_\_\_

Date 日期