

## ACCOUNT OPENING INSTRUCTIONS (CORPORATE CLIENT)

Dear Applicant(s),

Thank you for your account opening application. In order to comply with the relevant rules and regulations of Hong Kong, please follow the following steps when completing your application:

1. Read the **Client Agreement for Securities Trading / Stock Options Trading (except US stock options trading) / Derivatives Trading / Leveraged Foreign Exchange Trading / US Securities Trading (Segregated Account) Services** carefully, in particular the **Risk Disclosure Statements** and the **Disclosure on Best Execution**. Ask your Relationship Manager or our Customer Services Department on any questions you may have.
2. Complete all relevant sections of the **Account Opening Form**, mark N/A or X in those that are not applicable to you. Any incomplete or omitted information on the Account Opening Form will cause unnecessary delay or rejection of your application.
3. Read carefully the Declaration in the **Account Opening Form**, sign and date.
4. You may request Guotai Junan's employee to witness your signature, sign and date the Witness Signature section on the **Account Opening Form**. Where signing the Account Opening Form in the presence of Guotai Junan's employee is not possible, you should arrange to have the signed Account Opening Form and the identification document(s) **certified** by a Justice of the Peace (JP), or a professional person such as practising certified public accountant (CPA), lawyer or notary public. Please note that the Account will not be opened until the application has been accepted by Guotai Junan.
5. If you intend to trade U.S. Stocks, please sign and date on the **Form W-8BEN-E (Non-U.S. Entities)** or **Form W-8IMY (Foreign Intermediary)**.
6. If you intend to trade Canadian Stocks, please sign and date on the **Canadian Market Data Agreement and NR Form**.
7. If you intend to trade Vietnamese Stocks, please complete and sign on the **Application for Frontier Market Trading Form**.
8. Corporates or unincorporated entities which are registered in Mainland China are not allowed to trade China A Shares through Shanghai / Shenzhen Stock Connect. The aforesaid restriction does not apply to any branch or subsidiary of a corporate or unincorporated entity registered in the Mainland China which such branch/subsidiary is lawfully registered in Hong Kong or overseas (please provide relevant identification documents as proof, e.g. business registration certificates)
9. Corporates incorporated in (or unincorporated entities which are registered in) the Mainland China are not allowed to open Taiwan market for stock trading.
10. If you intend to trade futures / FX, please sign and date on the **Standing Authority under Securities and Futures (Client Money) Rules (Cap. 571I)**.
11. Return the signed **Account Opening Form** **TOGETHER WITH** the following supporting documents to Guotai Junan:
  - (i) **Certified true copies of:**
    - (a) **Document giving authorized to the authorized persons to operate the Account**

- (e.g. Board Resolution or similar Written Authority and List of Authorized Signatories and Traders);
- (b) Passports or identity cards of Authorized Signatories, Authorized Traders, Directors and Shareholders / Beneficial Owners;
  - (c) Company Search Report (for locally incorp. & issued within last 6 months);
  - (d) Certificate of Incumbency (for overseas incorp. & issued within last 6 months);
  - (e) Certificate of Incorporation;
  - (f) Business Registration Certificate (if applicable);
  - (g) Memorandum & Articles of Association;
  - (h) Director's Declaration on Ownership Chart (if applicable); and
  - (i) Latest Annual Return, Notification of Change and Register of Directors and Shareholders
- (ii) Settlement Instructions (if applicable)
  - (iii) Financial Statements / Personal Guarantee (copy of passport/identity card of all guarantors, if applicable)
  - (iv) Address proof of Business Address (if different from Registered Address)
  - (v) Latest 3 month Address Proof of Shareholders / Beneficial Owners (e.g. bank statements, utility bills etc.)
  - (vi) Client Risk Profiling Questionnaire (if applicable)
12. Be sure to retain the Client Agreement, Fees, Commission & Charges and for your own reference.
13. For protection of your own interests, it is your duty to ensure the security of your own account number, Internet trading password and PIN. Guotai Junan will not be responsible for any claims, damages or losses suffered by you as a result of any unauthorized trading or order made through or under your account number, Internet trading password and PIN.
14. Please **DO NOT** send money to your Account until your application has been accepted. You are also required to keep Guotai Junan up-to-date on your personal information including, but not limited to, your name, address and telephone number. Failure to do so may cause your Account to be restricted and you are responsible for such restrictions and consequences. Please download the **Update of Client's Information Form** from our website for use.

Should you have any questions, please feel free to contact your Relationship Manager or our Customer Services Department at (852)2509-7524 / 4008095521, email at [customer.service@gtjas.com.hk](mailto:customer.service@gtjas.com.hk) or browse our website <https://www.gtjai.com>.

**GUOTAI JUNAN SECURITIES (HONG KONG) LIMITED**  
**GUOTAI JUNAN FUTURES (HONG KONG) LIMITED**  
**GUOTAI JUNAN FX LIMITED**

**February 2023**