

## 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)	

1. 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。
2. You should undertake to promptly notify us if you become or cease to 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例界定的受規活動時，立即通知本公司。
3. 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。
4. 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。
5. 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 ✓ appropriate box. 請在適當空格加✓)

<input type="checkbox"/> <b>Change of Correspondence Address 更改通訊地址</b>	
New Correspondence Address 新通訊地址	
<input type="checkbox"/> <b>Change of Residential Address 更改住宅地址</b> Please provide the original or copy of statements which was issued within the latest 1 year as address proof. 請提供最近1年內發出的結單正本或複印本作地址證明。	
New Residential Address 新住宅地址	
<input type="checkbox"/> <b>Change of mailing method (Please tick ✓ one item only) 更改通訊方式 (請只勾選✓一項)</b>	
<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 只適用於開通網上交易服務之帳戶) ^ ^Under this option, you will access Statements via Online Trading Platform. Other notifications or correspondences will be provided to you by E-mail. ^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 Company E-mail Address 公司電郵地址 <input type="checkbox"/> By Post to Correspondence Address 郵寄至通訊地址#	
# 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"/> <b>Update email address 更新電郵地址</b>	
New Email address 新電郵地址	
<input type="checkbox"/> <b>Subscribe / Unsubscribe* research reports sent by email 選擇 / 拒絕* 以電郵收取研究報告</b> <i>*Please delete as inappropriate 請刪去不適用者</i>	

  

<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>	
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:
<i>請提供經簽名驗證的身份證或護照複印本 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: <i>請填寫及簽署通用報告準則 (CRS) 自我聲明書及(或) 個人&lt;&lt;海外帳戶稅收合規法案&gt;&gt;自行認證。</i> <i>Please provide the Common Reporting Standards (CRS) Self-Certification Form and (or) Individual FATCA Self-Certification.</i>
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<input type="checkbox"/> <b>Change of Marital Status 更改婚姻狀況</b>			
<input type="checkbox"/> Single 單身	<input type="checkbox"/> Married 已婚	<input type="checkbox"/> Divorced 離婚	<input type="checkbox"/> Widowed 喪偶

  

<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	
Employer / Occupation Industry 僱主/職業行業 <i>(Please refer Appendix A for List of Industries and fill in the relevant number 行業列表請參考附錄甲，並填寫相關代號)</i>	
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"/> \$250,001-\$500,000 <input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> \$1,000,001-\$5,000,000 <input type="checkbox"/> \$5,000,001-\$10,000,000 <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"/> \$500,001-\$1,000,000 <input type="checkbox"/> \$1,000,001-\$5,000,000 <input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> \$10,000,001-\$50,000,000 <input type="checkbox"/> \$50,000,001-\$100,000,000 <input type="checkbox"/> >\$100,000,000 please specify 須註明: _____		
Source of Funds 資金來源	<input type="checkbox"/> Salary/Business Income 薪俸/營業收入 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Return on Investments 投資回報 <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"/> Savings 儲蓄 <input type="checkbox"/> Sale of Investments 投資回報 <input type="checkbox"/> Inheritance/Gift 遺產/贈物 <i>(Please fill Appendix B 請填附錄乙)</i> <input type="checkbox"/> Retirement Funds 退休金 <input type="checkbox"/> Sale of Property/Assets 出售物業/資產 <input type="checkbox"/> Others : 其 他 : _____		

**☐ Other Disclosures 其他資料披露**

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?

☐ Yes 是 ☐ 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?

☐ Yes 是 ☐ 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。)

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?

☐ No 沒有 ☐ 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?  
 你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?

☐ No 沒有 ☐ Yes 有 (If yes, please specify如有，請述明帳號: \_\_\_\_\_)

**☐ Update of knowledge of derivatives 更新衍生產品的認識 (Please tick the appropriate box. 請在適當空格加✓)**

1. ☐ I have attended courses or seminars on derivative product(s)  
 我曾接受有關衍生產品的培訓或相關課程

Name of courses or seminars相關培訓或課程名稱: \_\_\_\_\_

☐ Derivatives knowledge training provided by Guotai Junan group company 國泰君安集團公司提供的衍生產品課程 (Please provide the completed and signed "Derivatives Knowledge Questionnaire" 請提供已完成及簽署之「衍生產品問卷」)

☐ Other courses or seminars 其他培訓或課程

Name of courses or seminars相關培訓或課程名稱: \_\_\_\_\_

Name of organized institution舉辦機構名稱: \_\_\_\_\_

Attendance Date出席日期: \_\_\_\_\_

2. ☐ My current or previous work experience has been related to derivative product(s)  
 我現時或以往的工作經驗是與衍生產品有關

Name of employer 僱主名稱: \_\_\_\_\_

Position 職位: \_\_\_\_\_

Job nature 工作性質: \_\_\_\_\_

Relevant employment period 在職年期: \_\_\_\_\_ years (年)

3. ☐ I have executed six or more transactions in derivative products within the past three years  
 我曾在以往三年內進行過六宗或以上衍生產品交易

Name of the financial intermediary(ies) through which you executed the derivative product transactions

你進行上述衍生產品交易時使用的金融機構名稱: \_\_\_\_\_

Please indicate relevant derivative product transactions experience in "Client Risk Profiling Questionnaire"  
 請在「風險承受能力問卷」填上相關衍生產品交易經驗

**(II) CHANGE OF TRADING INFORMATION 更改交易資料**

 (Please tick ☒ appropriate box. 請在適當空格加 ☒ ) \*Please delete as inappropriate 請刪去不適用者

<b>Internet Trading Function 網上交易服務：</b> <input type="checkbox"/> <b>Request 增加</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” <input type="checkbox"/> <b>Cancel 取消</b>	
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<input type="checkbox"/> Add first / Cancel / Change of * Personal Identification Number ( “PIN” ) 首次新增 / 取消 / 更改* 私人密碼 ( “PIN” )	
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<input type="checkbox"/> <b>Request/ Cancel* Non-HK Market Trading Function 開通 / 取消* 港股以外的其他證券交易市場：</b>			
<input type="checkbox"/> Shanghai-Hong Kong Stock Connect 滬港通 (Not Applicable to Mainland Investors 不適用於國內投資者) <input type="checkbox"/> Shenzhen-Hong Kong Stock Connect 深港通 (Not Applicable to Mainland Investors 不適用於國內投資者)			
<input type="checkbox"/> Australian shares 澳洲股票	<input type="checkbox"/> Bonds 債券	<input type="checkbox"/> Bond Direct <sup>(a)</sup> 線上債券 <sup>(a)</sup>	<input type="checkbox"/> Canadian shares <sup>(b)</sup> 加拿大股票 <sup>(b)</sup>
<input type="checkbox"/> China B shares 中國 B 股	<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"/> Swiss shares 瑞士股票	<input type="checkbox"/> UK shares 英國股票	<input type="checkbox"/> US shares <sup>(a)</sup> 美國股票 <sup>(a)</sup>
<input type="checkbox"/> Structured product 結構性產品 (Applicable to Professional Investors only 只適用於專業投資者)			<input type="checkbox"/> Vietnam shares <sup>(c)</sup> 越南股票 <sup>(c)</sup>

<input type="checkbox"/> <b>Request <sup>(a)(d)</sup> / Cancel* US Futures Trading Function 開通 <sup>(a)(d)</sup> / 取消* 美國期貨交易</b>	
(a) If you have never completed a W-8 declaration or the declaration has expired, Please complete and return W-8BEN/W-8BEN-E/W8-IMY IRS tax return forms 如從未填寫W-8申報或申報已過期，請填寫並交回W-8BEN/W-8BEN-E/W8-IMY美國稅務局（IRS）稅務申報表格 (b) Please complete and return Canadian Market Data Agreement and NR Form 請填寫並交回加拿大市場數據協議書及NR Form (c) Please read carefully and understand Additional Risk Disclosures on Investing in Vietnamese Securities Market prior requesting Vietnam shares trading function <a href="https://www.gtja.com/upload/UploadFiles/DownloadForms/Eng/Additional_Risk_Disclosures_on_Investing_in_Vietnamese_Securities_Market.pdf">https://www.gtja.com/upload/UploadFiles/DownloadForms/Eng/Additional_Risk_Disclosures_on_Investing_in_Vietnamese_Securities_Market.pdf</a> 申請開通越南股票交易前，請先細閱及了解投資越南證券市場附加風險披露聲明 <a href="https://www.gtja.com/upload/UploadFiles/DownloadForms/Chi/Additional_Risk_Disclosures_on_Investing_in_Vietnamese_Securities_Market.pdf">https://www.gtja.com/upload/UploadFiles/DownloadForms/Chi/Additional_Risk_Disclosures_on_Investing_in_Vietnamese_Securities_Market.pdf</a> (d) Please complete and return Trading Platform Application and Termination 請填寫並交回申請及終止交易平台	

<input type="checkbox"/> <b>Change of other information 更改其他資料：</b>          
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**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>
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For GTJA Use Only	Signature Verified	Inputted	Reviewed
Signature:			
Date:			

APPENDIX A – List of Industries no. 1 - 33 附錄甲 – 行業列表項目 1- 33 (updated in August 2022)		
1. Beauty/Healthcare Services 美容/保健服務	2. Business Services 商業服務	3. Cash Intensive Business (e.g. Restaurant, Retail Store, etc) 現金密集型企業 (例如:餐廳、零售店等)
4. Casino and Gambling Related Business 賭場及其他與賭博相關的業務	5. Construction & Engineering 建築及工程	6. Dealers in Art, Antique or Auction houses 藝術、古董經銷商或拍賣行
7. Dealers in Car, Boat or Plane 汽車、船舶或飛機經銷商	8. Dealers in Jewel, Gem or Precious Metal 珠寶、寶石或貴金屬經銷商	9. Embassies 大使館
10. Entertainment 娛樂場所	11. Finance 金融	12. Insurance 保險
13. Legal 法律行業	14. Licensed non-Government Organization 經許可非政府組織	15. Logistics 物流業
16. Manufacturer of Ammunition and Weapon 彈藥及武器製造商	17. Manufacturing 製造業	18. Mining/Trading in Precious Metals, Oil or Natural Gas 貴金屬、石油或天然氣開採或貿易商
19. 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)	20. Offshore Banks Located in Tax /Banking Havens 位於稅務/銀行避風港的離岸銀行	21. Pawnshop 當舖
22. Professionals (e.g. Solicitors, Accountants, etc) 專業人士 (例如: 律師、會計師)	23. Public Services 公共服務	24. Real Estate 房地產
25. Startups and Fintech 初創及金融科技	26. Telecommunications 通訊業	27. Transportation 運輸業
28. Travel and Tourism 旅遊業	29. Utilities 公用事業	30. Virtual Currency 虛擬貨幣
31. Wholesale/Export/Import 批發/進出口	32. Investment holdings 投資控股	33. Others: Please state 其他: 請說明

## APPENDIX B 附錄乙

<b>INHERITANCE/GIFT INFORMATION (PLEASE COPY THIS PAGE TO COMPLETE IF MORE THAN 1 PERSON)</b> <b>遺產/贈物資料 (如多於1人，請複印此頁填寫)</b> <i>(Please tick the appropriate box. 請在適當空格加✓)</i>			
<input type="checkbox"/> INHERITANCE BENEFACTOR 遺贈人		<input type="checkbox"/> GIFT DONOR 饋贈人	
<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Ms. 女士 <input type="checkbox"/> Mrs. 夫人	Last Name (English): 英文姓:	First Name (English): 英文名:	Chinese Name: 中文姓名:
Relationship with the client/beneficial owner: 與客戶或實益擁有人之關係:		Occupation: 職業:	
Form of Inheritance/ Gift 遺產/贈物形式:			
<input type="checkbox"/> Cash 現金及儲蓄 <input type="checkbox"/> Properties 物業		<input type="checkbox"/> Securities 證券 <input type="checkbox"/> Others 其他: _____	
Value(HKD): 價值(港幣):			