

Guideline of Online Application for Fund Market Trading Function & Submission of Client Risk Profiling Questionnaire

	1.	Application	for	Fund	Market	Trading	Function
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2. Submission of Client Risk Profiling Questionnaire

1. Application for Fund Market Trading Function

Step 1: Login to Online Trading Platform https://trade.gtjai.com/oapp/page_en/common/login.html

Forgot Password

Client Login

0	國泰君安證券(香港)有 GUOTAI JUNAN SECURITIES (HONG K	
	TRADE NEWS GLOBAL HE	LP
Home	Welcome to the GTJAS (HK) Online Trading	● 中文版
	hour dealing hotline at (852) 2509 7526 to place your orde Ir customer service hotline at (852) 2509 7524 for general e	r if you are having technical problems with Guotai Junan online trading services. enquiries.
Trade Log	qin	Important Notice:
-		1. Latest Regulations for Derivative Products Trading Service
Account No.		2. Implementing Two-Factor Authentication Service (2FA)
	New Client	3. Prompt Notification of Internet Trading Activities
Login		 Suspension of Email OTP Method (starting from 1 April 2021)
Password	Forgot Password	5. GTJAI Mobile OTP Video Guide
Verification Code	8951	 <u>Re:Notification and Client Consent for the Access Service</u> (Only applicable to Individual clients who receive statements by email)

If it's your first time to use our online trading system, please read the **Risk Disclosure Statements**

If you want to know more information, please read GTJAS (HK) Online Trading first

Should you have any queries, please feel free to contact us:

Step 2: Select "Customer Service" in menu bar, then click "Market Trading Function" \geq

) 有限公司 G KONG) LIMITED	
TRADE	NEWS	GLOBAL INSIGHTS	HELP	
TRADE		, Welcome to the	GTJAS (HK) Online Trading	U LOGOUT
Please call our 24-hour dealing ho And please call our customer serv				chnical problems with Guotai Junan online trading services.
Hargin and Securities Borrowing and Lending	Capital/	Stock		
Customer Service	The Balan	ce of Capital		

e-Form	Currency	Bal	Balance of Capital		apital Available	Marke	t Cap.	Total Asset Balance	
Fund Withdrawal	HKS HKD		27,983.44		27,983.44	4	0.00	27,983.44	
Fund Deposit									
Currency Exchange			2,6	510.59	2,610.59	9	0.00	2,610.59	
Reward Points									
Real-Time Quote Service	The Balan	ce of S	hare						
System	Market Stock Stock of Stock		Balance of Stock	Shares Market Available Price		Market	Operations		
Change Password		Name	Code	Shares	Alvallable	Plige	Cap.		
2FA Enrollment				No	data records ava	ilable.			
Change of Client Contact 1. Click "Market Trading Function"									
Information	Reminder								
SMS Subscriptions Settings	The above information are for your reference only								
Occurrent Time and Oction	All market prices of the Hong Kong stock are at least 15 minutes delayed								
Session Timeout Setting	All market prices of the US stock are at least 15 minutes delayed (except over-the-counter markets)					r markets)			
Market Trading Function									

Step 3: Click "Request Function" if the status of Fund Market is "No"

Market Trading Function

Market Code	Market Name	Status	Operation
AUS	Australia	Yes	Cancel Function
BON	Bonds Market	No	Request Function
CAN	Canada	Yes	Cancel Function
DEU	Germany	No	Request Function
DEV	OTC Derivatives	No	Request Function
FRA	2. Click "Request France	unction" No	Request Function
FUN	Fund Market	No	Request Function
HKG	Hong Kong	Yes	

> Step 4: Please confirm the details of application for open Fund Market Trading Function, then click "Confirm"

Request for Market Share Trading Function - Confirm

3. Click "Confirm"

App. Market:[FUN] Fund MarketApp. Type:Open Market Shares Open Market Shares



Step 5: The application for the Fund Market Trading Function has been submitted to our system for approval.

Request for Market Share Trading Function - App. Received!

Your application has been submitted to our trading system! App. No.:



Your application has been submitted to our trading system, it may takes 3-5 working days to approve your application.



2. Submission of Client Risk Profiling Questionnaire

Step 1: Select "Customer Service" in menu bar, then click "e-Form"

TRADE	NIEWAS	OBAL HELP GHTS HELP
TRADE	, Welco	ome to the GTJAS (HK) Online Trading
services. And please call our cust		place your order if you are having technical problems with Guotai Junan online trading 52) 2509 7524 for general enquiries.
Hargin and Securities Borrowing and Lending A	Buy Order	A
Customer Service	Market	HONG KONG V Buy
e-Form Fund Withdrawal	Stock Code	
Fund Deposit	1. Click "e-Form"	(Please input Stock Code and press "Enter" to view the current price)
Currency Exchange	Price	
Reward Points	Qty	

> Step 2: Click "Create"

-	TRADE	NEWS	GLOBAL INSIGHTS	HELP				
TRADE			Welcome to th	e GTJAS (HK) Onlir	ne Trading		[ப் LOGOUT
Please call our 24-hour d services. And please call	our custor					I problems with Gu	otai Junan online	trading
\boxplus Margin and Securities Borrowing and Lendin	g							1
Customer Service		DRAFT	SUBMITTED	PROCESSING	REJECTED	COMPLETED	CANCELED	
e-Form						01:-1- "Ot-"		- 1
Fund Withdrawal					2.	Click "Create"	+ Cre	eate
Fund Deposit								

Step 3: Click on drop-down list, then select "Client Risk Profiling Questionnaire –Individuals"

Please Choose a form:		
	股票提取指示 Securities Withdrawal Instruction	
	重發月結單申請書 Re-issuance of Monthly Statement 3. Select "Clien	t Risk Profiling Questionnaire –
	資產證明申請書 Application of Asset Verification	
	交收指示表格 Settlement Instruction Form	
	Client Risk Profiling Questionnaire - Individuals	

Step 4: After completed the Client Risk Profiling Questionnaire, click "Save As Draft"

			◯ 6 or More Transactions
2014, special features include	perpetual, subordir	nated, callable, va	ligh-Yield Bonds" dated 25 March ariable and/or deferral of interest able, contingent write down or
subordinated, variable and/or	onds with special fe deferral of interest	eatures (including payment terms,	g, but not limited to, perpetual, extendable maturity dates,
convertible/ exchangeable, co multiple credit support provid features.	-		
	4. Click "Sa	ve As Draft"	Back Save As Draf

> Step 5: Please confirm the assessment result of your Investment Risk Profile, then enter your full name in the "Customer's Signature" field and click "Submit" (Click "Back" if you want to redo the Client Risk Profiling Questionnaire)

Confirm And Submit

Assessment Result

Investment Risk Profile	Attributes and Risk Preferences			
Conservative	Generally speaking, these clients prioritize investment products of low uncertainty on risk or incline to minimize investment loss.			
Stable	Generally speaking, these clients are willing to take modest risk so as to achieve returns slightly better than bank deposits.			
Balanced	Generally speaking, these clients are willing to take a certain degree of risk and/or prefer investment portfolio mixed with products ranging from low to high risk.			
Growth	Generally speaking, these clients are willing to accept higher price fluctuation and take relatively higher risk for respectable returns and/or prefer growth-oriented products (which may be complex or sophisticated products) or products of similar risk level.			
Aggressive	Generally speaking, these clients are comfortable with maximizing their potential return by investing in very high risk products. Investment values can fluctuate widely and may fall substantially below client's original investment. They are willing to invest in more complex or highly sophisticated products, or products of similar risk level.			
 I/We agree and accept the above assessment result of my/our risk profile. I/We disagree with the above assessment result and believe that the following risk profile, which is more prudent than the assessment result is more suitable 5. Tick the boxes to confirm I/We hereby declare and agree that all the information given above is complete, true and accurate, and is given to the best of my/our knowledge. I/We acknowledge that any advice or recommendation given to me/us by the representative(s) of GTJA relies upon the basis of information given by me/us. I/We shall inform GTJA immediately if there is any material change on any of the information given. 				

Liquid Net Worth

owledge that my/our liquid net worth (i.e. total assets minus total liabilities (excluding the net value of fix

if we hereby acknowledge that my/our inquite net worth (i.e. total assets minus total habilities (excluding the net value of fixed assets)) is estimated to be.		
6. Enter your Liquid Net Worth	•	0 110
		Scroll Down
* Client's Signature: 7. Enter your full name		
CHAN TAI MAN		
Please enter your full name		

Client's Signature (for joint account owners only):	
Please enter your full name	
	8. Click "Submit"
	Back Submit

> Step 6: You application has been submitted for further processing. Once approved, you will view your application in the "COMPLETED" Tab

DRAFT	SUBMIT	TED PROCESS	ING REJECTE	D COMPLETED	CANCELED			
"Client Risk Profiling Questionnaire"								
								+ Create
Form Id	\$ Q	Form Type 🌲 🔍	Client Id $\ \ \bigcirc$	Client Name 💠 🔍	Value Date	Submission Date	Status 🗘 🔍	Action
CRPQ-00	000015	CRPQ	2	CHAN	N/A	2022-09-22 17:56:0	SUBMITTED	2 2 8
4								×.

For Enquiries, please contact: CS Hotline: 40080 95521 / (852) 2509 7524 HK Share Dealing Hotline: (852) 2250 0898 / (852) 2250 0899 24-hour Dealing Hotline: (852) 2509 7526