

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

 27th 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: _____	
Check by: _____	Date: _____

ACCOUNT OPENING FORM (CORPORATE ACCOUNT)
ONLY APPLICABLE FOR INSTITUTIONAL PROFESSIONAL INVESTOR (PI-A)

開戶申請表格 (公司帳戶) 僅適用於機構專業投資者 (PI-A)

- New Account 新開戶**
 Account Reactivation 重新啟動不動戶
 Additional Account Opening 額外開戶

1 SECURITIES ACCOUNT TYPE 證券帳戶類別 (Please tick appropriate box. 請在適當空格加✓)
 Cash 現金帳戶

 Delivery versus Payment ("DVP") 貨銀對付

 Custody 託管

Client Type for Investor Identification Purpose 投資者識別碼客戶類別:

 Funds 基金

 Others 其他

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說明:

 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

 Bond Direct 線上債券

2 CORPORATE INFORMATION 公司資料 (Please tick appropriate box. 請在適當空格加✓)

Company Name (English):

公司名稱(英文):

Company Name (Chinese):

公司名稱(中文):

Type of Company 公司類別:

 State-owned Company 國有企業

 Listed Company 上市公司 Stock Code 股票代號: _____

 Limited Company 有限公司

 Partnerships and Unincorporated bodies 合夥及非法團團體

 Fund Management/Asset Management 基金管理/資產管理

 Local Government Financing Vehicles (LGFV) 地方融資平台

 Fund 基金

 Country 國家: _____ Exchange 交易所/Market 市場: _____

 Not-for-Profit Organization 非牟利組織

 Non-Bank Financial Institution 非銀行金融機構

 Others (please state) 其他 (請註明): _____

Nature of Business 業務性質

(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)

Registered Office Address:

註冊地址:

Country 國家:

Principle Address of Business:

主要營業地址:

Country 國家:

Correspondence Address

通訊地址:

Country 國家:

E-mail address:

電郵地址:

 Please provide relevant identity document and fill in details in following descending order of priority¹.

 請依照下列的優先排序依次提供相關身份證明文件, 並填寫信息¹。

Please put "N/A" if not applicable.

如不適用, 請填上 "N/A"。

(1)	Legal Entity Identifier registration document and No.: 全球法人機構識別編碼登記文件及號碼:	(2)	Certificate of Incorporation and No.: 公司註冊證明書及號碼:
(3)	Certificate of Business Registration and No.: 商業登記證及號碼:	(4)	Other equivalent identity document: 其他同等身份證明文件:
	Place of Issue of Business Registration Certificate: 商業登記證發出地:		Name and no. of identity document: 身份證明文件名稱及號碼:

Country of Incorporation: 註冊國家:	Date of Incorporation: 註冊日期:	
Location where Major Business is Operated: 主要業務營運地區:		
(Country Code) Office Tel. No.: (國家區號) 辦公室電話號碼: ()	(Country Code) Mobile Phone No.: (國家區號) 手提電話號碼: ()	(Country Code) Fax No.: (國家區號) 傳真號碼: ()
Do you require internet trading services of Securities Trading Account? 您是否需要開通證券交易帳戶網上交易服務? (Choose only one below 以下只選一項) <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否		
Mobile Phone No. for OTP for Internet trading services of Securities Trading Account 獲取證券交易帳戶網上交易服務「一次性驗證碼」 <input type="checkbox"/> same as above 同上 <input type="checkbox"/> Other Mobile Phone No. 其他手提電話號碼: ()		
Preferred mailing method (please select either one) 請選擇您的通訊方式 (只選一項): <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. Under this option, you will access Statements via Online Trading Platform. Other notifications or correspondences will be provided to you by E-mail. 只適用於開通網上交易服務之帳戶。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 Post to Correspondence Address 郵寄至通訊地址		
Annual Revenue (HK\$): 全年營業額(港幣):	<input type="checkbox"/> <= \$500,000 <input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> > \$100,000,000, please specify 須註明 ² : <input style="width:100px;" type="text"/>	<input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> \$10,000,001-\$50,000,000 <input type="checkbox"/> \$1,000,001-\$5,000,000 <input type="checkbox"/> \$50,000,001-\$100,000,000
Annual Net Profit (HK\$): 全年淨利潤(港幣):	<input type="checkbox"/> <= \$500,000 <input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> > \$100,000,000, please specify 須註明 ³ : <input style="width:100px;" type="text"/>	<input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> \$10,000,001-\$50,000,000 <input type="checkbox"/> \$1,000,001-\$5,000,000 <input type="checkbox"/> \$50,000,001-\$100,000,000
Total Assets (HK\$): 總資產(港幣):	<input type="checkbox"/> <= \$1,000,000 <input type="checkbox"/> \$10,000,001-\$50,000,000 <input type="checkbox"/> > \$500,000,000, please specify 須註明 ⁴ : <input style="width:100px;" type="text"/>	<input type="checkbox"/> \$1,000,001-\$5,000,000 <input type="checkbox"/> \$50,000,001-\$100,000,000 <input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> \$100,000,001-\$500,000,000
AUM (HK\$) (if applicable): 資產管理規模(港幣) (如適用):	<input type="checkbox"/> <= \$1,000,000 <input type="checkbox"/> \$10,000,001-\$50,000,000 <input type="checkbox"/> > \$500,000,000, please specify 須註明 ⁵ : <input style="width:100px;" type="text"/>	<input type="checkbox"/> \$1,000,001-\$5,000,000 <input type="checkbox"/> \$50,000,001-\$100,000,000 <input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> \$100,000,001-\$500,000,000
Source of Wealth: 財富來源:	<input type="checkbox"/> Business Income / 營業收入 <input type="checkbox"/> Sale of Investments 投資回報	<input type="checkbox"/> Sale of Property/Assets 出售物業/資產 <input type="checkbox"/> Others : 其他 : _____
Source of Funds: 資金來源:	<input type="checkbox"/> Business Income/營業收入 <input type="checkbox"/> Return on Investments 投資回報	<input type="checkbox"/> Sale of Property/Assets 出售物業/資產 <input type="checkbox"/> Others :其他 _____

1 As a general rule, client is required to provide identity documents that is first mentioned in the table, save that where client does not hold such document, the next mentioned document should be provided and so forth. But in case client possesses any identity document(s) in this table which are also included in the supporting documents list as stated in para 1 on top session, first page of this Account Opening Form, client is required to provide all such identity documents and fill in relevant part of the table, regardless their standing. 一般情況下, 客戶需要提供該表格內首述的身分證明文件, 除非客戶並無持有該文件, 則應提供該表格所提述的下一份文件, 如此類推。但假若客戶持有何本表格內提及的身分證明文件, 而該等文件同時屬本開戶申請表格中, 第 1 頁頂部第 1 段所述的文件清單內, 無論他們在本表格的排名如何, 客戶需要提供所有此等身份證明文件並填寫本表格相關部分。

2 Client(s) must specify the number of annual revenue if their annual revenue are over \$100,000,000. 客戶須註明其全年營業額數字如其全年營業額超過\$100,000,000。

3 Client(s) must specify the number of annual net profit if their annual net profit are over \$100,000,000. 客戶須註明其全年淨利潤數字如其全年淨利潤超過\$100,000,000。

4 Client(s) must specify the number of net assets if their net assets are over \$500,000,000. 客戶須註明其淨資產數字如其淨資產超過\$500,000,000。

5 Client(s) must specify the number of AUM if their AUM are over \$500,000,000. 客戶須註明其資產管理規模數字如其資產管理規模超過\$500,000,000。

3 ANTICIPATED LEVEL AND NATURE OF ACTIVITY PER MONTH 預計每月交易次數及種類					
Anticipated Investment Products 預計投資產品	Number of Transactions Per Month 每月交易次數	Amount of Transactions Per Month (HK\$) 每月交易金額 (港幣)	Anticipated Investment Products 預計投資產品	Number of Transactions Per Month 每月交易次數	Amount of Transactions Per Month (HK\$) 每月交易金額 (港幣)
Stocks 股票			Funds 基金		
Bonds 債券			Structured Products 結構性產品		
Futures & Options 期貨及期權			Forex 外匯		

4 LIST OF DIRECTOR 董事名單			

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5 OTHER DISCLOSURES 其他資料披露 (Please tick appropriate box. 請在適當空格加✓)

Is member of your group company(ies) currently maintaining account(s) with the companies of Guotai Junan Group?
 貴公司隸屬之集團及旗下公司成員有否在國泰君安集團的公司開設帳戶?
 No 沒有 Yes 有 (If yes, please specify 如有, 請註明帳號: _____)

Is your company and its shareholder(s), in control of 35% or more of the issued shares of any corporate client of Guotai Junan Group?
 貴公司及其股東是否控制任何國泰君安集團的公司客戶 35%或以上的股權?
 No 沒有 Yes 有 (If yes, please specify 如有, 請註明帳號: _____)

Is your company or your shareholders and/or its authorized persons a Politically Exposed Person ("PEP"), a person connected with PEP, senior government official or senior executive of a state-owned corporation?*

貴公司、其股東及或授權人是否政治人物或與其有關連之人士、高級政府官員或國有企業高級行政人員?*

No 不是 Yes 是, please specify 請述明具體:

Name of PEP 政治人物姓名	Relationship to PEP 貴公司與政治人物的關係	PEP Position and Term 政要職銜及擔任年期	Country 國家

* PEP includes but not limited to individuals with prominent public function or in senior positions in a place inside or outside Hong Kong (including head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and important political party official)
 政治人物包括但不限於香港或香港以外任何地方擔任或曾擔任重要的公職 (包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官有企業高級行政人員及重要政黨幹事)

Is your company executing a transaction on behalf of a trust?
 貴公司是否代表信託基金執行交易?
 No 不是 Yes 是, please provide detailed particulars of the trust 請提供信託基金詳細資料:
 (If yes, please provide a copy of the Trust Deed for verification 如是, 請提供信託契約副本以供核實)

Name of Trust 信託基金名稱:	Date of Establishment/Settlement 訂立/委託日期:
Name of Settlor 委託人姓名:	Jurisdiction/Laws Governing the Trust 信託基金司法管轄區/管轄法律:
Identification Information of Settlor 委託人身份:	Name of Protector(s) or Enforcer(s) 保護人或執行人身份姓名:
Identification Information of Protector(s) or Enforcer(s) 保護人或執行人身份:	Name of Beneficiary(ies) 受益人姓名:

Identification Information of Beneficiary(ies) 受益人身份:

Is your company acting as nominee company for a third party(the ultimate beneficial owner ("UBO") of this Account / person ultimately benefiting from the transactions and bearing the risk/ person ultimately responsible for originating instructions for the account)?
 貴公司是否作為代理人公司替第三者(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)處理帳戶?
 No 不是 Yes 是

6 ULTIMATE BENEFICIAL OWNER/ PERSON ULTIMATELY BENEFITING FROM THE TRANSACTIONS AND BEARING THE RISKS/ PERSON ULTIMATELY RESPONSIBLE FOR ORIGINATING INSTRUCTIONS FOR THE ACCOUNT (FOR INDIVIDUAL ONLY) 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 (只適用於個人) (PLEASE COPY THIS PAGE TO COMPLETE IF MORE THAN 1 PERSON AND SIGN ON THE SUPPLEMENTARY PAGE) (如多於 1 人, 請複印此頁填寫, 並在附加頁上簽署) (Please tick the appropriate box. 請在適當空格加✓)					
<input type="checkbox"/> ULTIMATE BENEFICIAL OWNER 最終實益擁有人		<input type="checkbox"/> PERSON ULTIMATELY BENEFITING FROM THE TRANSACTIONS AND BEARING THE RISKS 最終受益於交易及承擔風險人士		<input type="checkbox"/> PERSON ULTIMATELY RESPONSIBLE FOR ORIGINATING INSTRUCTIONS FOR THE ACCOUNT 最終負責發出指示的人士	
<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:		
	ID Card No.: 身份證號碼:	Place of Issue of ID Card: 身份證發出地:	Passport No.: 護照號碼:	Place of Issue of Passport: 護照發出地:	
Former Name ¹ : 前名:		Country of Birth: 出生國家:		Date of Birth: 出生日期:	
Nationality(Please fill in more than one as appropriate): 國籍(可填寫多於一個):			Marital Status: <input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚 婚姻狀況:		
Residential Address: 住宅地址:				Country 國家:	
Permanent Address (if different from Residential Address): 永久地址 (如與住宅地址不同):				Country 國家:	
(Country Code) Home Tel. No.: (國家區號) 住宅電話號碼: ()			(Country Code) Mobile Phone No.: (國家區號) 手提電話號碼: ()		
E-mail Address: 電子郵件地址:					
Shareholding 所佔股權(%):			Control 所佔控制權(%):		
Employment 就業情況: <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Unemployed 無業 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Student 學生					
Employer / Occupation Industry 僱主/職業行業 (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)					
Name of Employer: 受僱/自僱機構名稱:			Present Position: 現時職位:		
Office Address: 辦公室地址:				Country: 國家:	
Country Code) Office Tel. No. (Optional): (國家區號) 辦公室電話號碼(可選填): ()			Country Code) Fax No. (Optional): (國家區號) 傳真機號碼(可選填): ()		
Company E-mail Address (Optional): 公司電子郵件地址(可選填):					
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 ² : <input style="width: 150px;" type="text"/>					
Net Worth (HK\$) ⁴ : 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 ³ : <input style="width: 150px;" type="text"/>					
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 (Please fill Appendix B 請填附錄乙)			
<input type="checkbox"/> Retirement Funds 退休金		<input type="checkbox"/> Sale of Property / Assets 出售物業/資			
<input type="checkbox"/> Others 其他: _____					

¹ Please provide certified true copies of documents proving alteration of name. 請提供更改名稱證明文件的經簽名驗證複印本。

² Client(s) must specify the number of annual income if their annual income are over \$10,000,000. 客戶須註明其入息數字如其收入超過\$10,000,000。

³ Client(s) must specify the number of net worth if their net worth are over \$100,000,000. 客戶須註明其淨資產數字如其淨資產超過\$100,000,000。

⁴ Net Worth = Total Assets (include Fixed Assets) minus Total Liabilities 淨資產 = 總資產(包括固定資產)減去總負債

7	ULTIMATE BENEFICIAL OWNER IS LISTED COMPANY/LICENSED INSTITUTION/STATE OWNED ENTERPRISE (IF APPLICABLE) 最終實益擁有人為上市公司/持牌機構/國有企業 (如適用)
1	Company Name 公司名稱： _____ <input type="checkbox"/> State-owned Company 國有企業： Country 國家： _____ <input type="checkbox"/> Listed Company 上市公司： Exchange 交易所/ Market 市場： _____ Country 國家： _____ Stock Code 股票代號： _____ <input type="checkbox"/> Licensed Institution 持牌機構： Name of Regulator 監管機構： _____ Country 國家： _____ License No. 牌照號碼： _____ Shareholding 所佔股權 (%) _____
2	Company Name 公司名稱： _____ <input type="checkbox"/> State-owned Company 國有企業： Country 國家： _____ <input type="checkbox"/> Listed Company 上市公司： Exchange 交易所/ Market 市場： _____ Country 國家： _____ Stock Code 股票代號： _____ <input type="checkbox"/> Licensed Institution 持牌機構： Name of Regulator 監管機構： _____ Country 國家： _____ License No. 牌照號碼： _____ Shareholding 所佔股權 (%) _____
3	Company Name 公司名稱： _____ <input type="checkbox"/> State-owned Company 國有企業： Country 國家： _____ <input type="checkbox"/> Listed Company 上市公司： Exchange 交易所/ Market 市場： _____ Country 國家： _____ Stock Code 股票代號： _____ <input type="checkbox"/> Licensed Institution 持牌機構： Name of Regulator 監管機構： _____ Country 國家： _____ License No. 牌照號碼： _____ Shareholding 所佔股權 (%) _____

8	STANDING PAYMENT INSTRUCTION 常設收款指示 (Only accept bank account in Hong Kong 只接受香港銀行帳戶) FOR CUSTODY ACCOUNT ONLY 僅供託管戶帳戶
Please pay the money received on my/our behalf into the following bank account opened in our own name upon our request. 請在本公司要求時將為本公司代收的款項轉帳到下列以本公司名義開設的銀行帳戶。	
Name of Bank 銀行名稱： _____	
Bank Account No. 銀行帳戶號碼： _____ Currency 貨幣： _____	
Documents to be provide 需提交之證明文件： Supporting document of the bank account to be registered (e.g. bank statement showing the relevant name and account number) : 登記之銀行帳戶證明文件(例如銀行結單需顯示姓名及銀行帳戶號碼)	
We, the under-signed, hereby confirm that:	
1. We shall refer to Fees Schedule for remittance bank charges; 2. We are the ultimate beneficial owner of the funds in the above Account; 3. The source of the fund or the purpose of the remittance do not involve terrorist financing activities, or proceeds of organized and serious crimes; 4. We shall bear the losses, responsibilities and risks pertinent to this withdrawal, transfer or payment to third party instruction; 5. We have enquired with the receiving bank and confirm that the receiving bank can receive the fund to be transferred from your company; and 6. We understand that the funds are remitted in the name of your company; 7. We understand that the submission deadline is 2:00 pm for normal business day and 11:00am for half trading day; Instruction will be handled by next business day if submission after the cut-off time; 8. We acknowledge and agree that the staff of your company may at any time contact us over the phone to confirm the details of our withdrawal request if they have any questions on its validity; and that your company is entitled to reject our withdrawal request without any liabilities if we are unable to verify the relevant details satisfactorily.	

吾等，以下簽署者，謹此確認：

1. 吾等明白並參閱收費明細以了解提款的銀行費用；
2. 證券 / 期貨 / 外匯 帳戶的款項最終受益人為本公司；
3. 匯款來源 / 匯款目的並不涉及為恐怖分子集資活動、販毒得益或有組織及嚴重罪行的得益；
4. 吾等同意承擔可能因此提款、轉帳或付款至第三者而引致之爭議、損失、責任及風險；
5. 吾等已向收款銀行查詢並確認收款銀行可以接收從貴司匯出的款項；
6. 吾等明白所有匯款是以貴司之名義匯出；
7. 吾等明白截止提款時間為每天交易日下午2:00正和半天交易日為上午11:00，任何在上述截止提款時間後收到的提款指示將當作次個工作日的提款；
8. 吾等明白如對轉款有任何疑問，貴司營運部將隨時致電聯絡吾等確認提款資料；如無法聯絡吾等，提款手續將不獲辦理。

Signed by Salesperson 前線同事簽署

To the best of my knowledge and belief, I hereby declare that I have collected the necessary documentary proof and verified the information in this form to be true and correct.

据本人所知及所信，我謹此聲明我已取得所需證明文件及核對本表格之資料均為真實及正確。

Signature 簽署

Name 姓名

Date 日期

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)
1. 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

INHERITANCE/GIFT INFORMATION (PLEASE COPY THIS PAGE TO COMPLETE IF MORE THAN 1 PERSON) 遺產/贈物資料 (如多於 1 人，請複印此頁填寫) (Please tick the appropriate box. 請在適當空格加✓)			
<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"/> Securities 證券	
<input type="checkbox"/> Properties 物業		<input type="checkbox"/> Others 其他: _____	
Value(HKD): 價值(港幣):			

Client Code: _____

Client Name: _____

9	ADDITIONAL ACCOUNT TYPE 額外帳戶類別
<input type="checkbox"/>	Stock Options 股票期權帳戶 <input type="checkbox"/> HK Stock Options 香港股票期權
<input type="checkbox"/>	Futures 期貨帳戶 <input type="checkbox"/> HK Futures 香港期貨 <input type="checkbox"/> US Futures 美國期貨
<input type="checkbox"/>	Foreign Exchange Trading 外匯交易帳戶

10	DECLARATION 聲明
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(1) 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). 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. 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 us and that you reserves the right to reject our application.
 吾等謹此聲明表格上提供之所有資料均為真實及正確，吾等並未刻意隱瞞任何重要事實。除上述提供的資料外，吾等清楚閣下會要求吾等提供更多相關的資料或證明文件。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吾等，並清楚閣下保留拒絕吾等開戶申請之權力。

(2) We request you to open a Securities Trading Stock Options Trading (except US stock options trading) Derivatives Trading Foreign Exchange Trading 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 ("HKSCFC") or any other regulatory body(ies) as amended from time to time governing the trading on Securities/Derivatives/ Foreign Exchange .
 吾等向閣下申請開立 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 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/衍生工具/外匯交易之條例及規則。

We have carefully read and understood the contents of the Terms and Conditions for Securities Trading for Institutional Professional Investor Client, Margin Agreement, Client Agreement for Derivatives Trading and Client Agreement for Foreign Exchange and Bullion Trading (as applicable based on the type of account requested) (each an "Agreement"). We expressly agree and consent, as evidence by the signature(s) below, to each and all the terms and provisions contained in each Agreement. We hereby declare that we are willing and capable of fulfilling the duties and obligations as specified in each Agreement.
 吾等已仔細審閱並理解機構專業投資者客戶的證券交易條款和條件、證券保證金交易協議書、衍生工具交易客戶協議書 及 外匯和貴金屬交易客戶協議 (根據客戶申請帳戶類型適用) ("協議") 的全部內容。吾等的以下簽名表明吾等完全同意和接受協議的全部條款和細節。吾等有能力和願意履行承擔協議規定的權利和義務。

Authorized Signature(s) with company chop 公司印章及授權簽名

Name of Authorized signatory(ies) (Please Print) 被授權簽署人姓名 (請書寫)

Date 日期

SIGNED by Witness 見證人簽署

I, the undersigned, have witnessed the signature and inspected the original identity documents of the above-named client.

本人已見證及驗證上述客戶之簽署及有關其身分證明文件之正本。

Signature of Witness 見證人簽署

Location of Mainland GTJA branches(If Applicable)

國泰君安國內諮詢中心/代表處地區 (如適用)

Full Name of Witness (Print) 見證人姓名(請以正楷書寫)

Date 日期

Witness' Qualification 見證人職位