

Lion Global Financial Limited

獅瀚環球金融有限公司
Suite 4806-07, 48/F, Central Plaza, 18
Harbour Road, Wan Chai, Hong Kong.
香港灣仔港灣道18號中環廣場48樓4806-07室

Client Code: _____ **AE Code :** _____
Related Account: _____
Checked by: _____ **Date:** _____

☐ Cash 現金帳戶 ☐ Margin 孖展帳戶

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)

☐ Yes 是 · Mobile Phone No. for OTP 獲取「一次性驗證碼」手提電話號碼: ()

1 PERSONAL INFORMATION 個人資料 (Please tick appropriate box. 請在適當空格加)

Primary Client 客戶

<input type="checkbox"/> Mr.先生	Last Name (English): 英文姓:	First Name (English): 英文名:	Chinese Name: 中文姓名:
<input type="checkbox"/> Ms.女士			
<input type="checkbox"/> Mrs.夫人			

Former Name ² : 前名:	Country of Birth: 出生國家:	Nationality (Please fill in more than one as appropriate): 國籍 (可填寫多於一個):
	Date of Birth: 出生日期:	Marital Status: <input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚 婚姻狀況:

Please provide relevant identity document and fill in details in following descending order of priority³.

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³。

Please put "N/A" if not applicable.

如不適用，請填上 "N/A"。

(1) HKID Card No.: 香港身份證號碼:	(2) National ID Card No.: 國家身份證號碼: Place of Issue of National ID Card: 國民身份證發出地:	(3) Passport No.: 護照號碼: Place of Issue of Passport: 護照發出地:
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Residential Address: 住宅地址:	Country 國家:
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Permanent Address (if different from Residential Address): 永久地址 (如與住宅地址不同):	Country 國家:
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Correspondence Address : 通訊地址 :	Country 國家:
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(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: ()
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E-mail Address:
電郵地址:

Preferred mailing method (please select either one) 請選擇您的通訊方式 (只選一項):

☐ By E-mail Address 電郵地址 ☐ By Company E-mail Address 公司電郵地址

☐ 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。

☐ 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)

Education 教育程度: ☐ Primary 小學 ☐ Secondary 中學 ☐ College 大專 ☐ Graduate or above 大學或以上

Employment 就業情況: ☐ Employed 受僱 ☐ Self-employed 自僱 ☐ Retired 退休
☐ Unemployed 無業 ☐ Housewife 家庭主婦 ☐ Student 學生

Name of Employer of Primary Client: 客戶受僱/自僱機構名稱:	Present Position ⁴ : 現時職位:
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Office Address: 辦公室地址:	Country: 國家:
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(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): ()
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Company E-mail Address (Optional):
公司電郵地址(可選填):

☐ No 否

☐ **US Stock Short Selling Trading Account (Applicable for Securities Account Holder)**

開通美國股票沽空交易帳戶 (適用於持有證券帳戶客戶)

Annual Income (HK\$): 全年收入(港幣):	<= \$250,000 \$1,000,001-\$5,000,000 >\$10,000,000, please specify 須註明 ⁵ :	\$250,001-\$500,000 \$5,000,001-\$10,000,000	\$500,001-\$1,000,000
Net Worth (HK\$) ⁶ : 淨資產(港幣):	<= \$500,000 \$5,000,001-\$10,000,000 > \$100,000,000, please specify 須註明 ⁷ :	\$500,001-\$1,000,000 \$10,000,001-\$50,000,000	\$1,000,001-\$5,000,000 \$50,000,001-\$100,000,000
Source of Funds 資金來源	Salary / Business Income 薪俸/營業收入 Return on Investments 投資回報	Pension 退休金 Others 其他: _____	
Source of Wealth 財富來源	Salary / Business Income 薪俸/營業收入 Sale of Investments 投資回報 Retirement Funds 退休金 Others 其他: _____	Savings 儲蓄 Inheritance / Gift 遺產/贈物 Sale of Property / Assets 出售物業/資產	

2	KNOWLEDGE OF DERIVATIVES 衍生產品的認識 (PLEASE TICK THE APPROPRIATE BOX. 請在適當空格加)
1.	<input type="checkbox"/> 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: <input type="checkbox"/> Derivatives knowledge training provided by Guotai Junan group company 獅瀚環球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」) <input type="checkbox"/> 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.	<input type="checkbox"/> 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.	<input type="checkbox"/> 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

3	OTHER DISCLOSURES 其他資料披露 (Please tick the appropriate box. 請在適當空格加)
Are you the employee of a SFC's licensed or registered person? 您是否證監會持牌或註冊人的僱員? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 - Please provide Employer's Consent Letter and specify 請提供僱主同意書及述明具體: _____ Name of Licensed Corporation/Registered Institution 持牌法團或註冊機構名稱: _____ CE Reference 中央編號: _____	
Are you a senior management or director of any listed company whose shares are traded on any exchange or market? 您是在任何交易所或市場上交易股票的任何上市公司的高級管理人員或董事嗎? 如果是, 請說明公司名稱和股票代碼 <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 - Please specify the company name(s) and stock code(s) 請說明公司名稱和股票代碼 Company Name(s) 公司名稱: _____ Stock Code(s) 股票代碼: _____	
Are you or your relatives currently employed by the companies of Guotai Junan Group? 您或親屬是否現受僱於獅瀚環球集團的公司? <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有 (If yes, please specify Name & Relationship 如有, 請述明姓名及關係: _____)	
Is your spouse currently maintaining Account with the companies of Guotai Junan Group? 您的配偶是否在獅瀚環球集團的公司開有帳戶? <input type="checkbox"/> No 沒有 <input type="checkbox"/> 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? 您是否個人或與您的配偶共同控制任何獅瀚環球集團的公司客戶 35%以上的股權? <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有 (If yes, please specify 如有, 請述明帳號: _____)	

<p>Have you been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements? 您是否曾經涉及違法或違反監管守則而被捕/受審/被判刑/被紀律處分?</p> <p><input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 (If yes, please specify 如果是, 請述明具體: _____)</p>
<p>Are you or your immediate family members Politically Exposed Person ("PEP"), a person connected with PEP, senior government official or senior executive of a state-owned corporation?* 您或您的直系親屬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?*</p> <p><input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 (If yes, please specify 如果是, 請述明具體: _____)</p> <p>Name of the PEP 政治人物的名稱 : _____</p> <p>Place and public function entrusted with 地方及所擔任的公職 : _____</p> <p>Term of the public function entrusted with 所擔任的公職年期 : FROM 由 _____ TO 至 _____</p> <p>Relationship with the client 與客戶之關係 : _____</p> <p><small>* PEP includes (1) with a prominent public function or holding senior public office in any place (which shall include a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official); or (2) as a sub-national political figure in any place (which shall include but not limited to head of regional governments, regional government ministers or large city mayors) 政治人物包括 (1)在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、司法或軍事官員、國有企業高級行政人員及重要政黨幹事); 或 (2)擔任地方政治人物(其中應包括但不限於地方政府、區域政府部長或大型城市市長)</small></p>
<p>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?</p> <p><input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是 (If no, please complete Section 6. 如果不是, 請填寫 6)</p>
<p>Are you the person ultimately responsible for originating instructions for the account? 您是否向戶口最終負責發出指示的人士?</p> <p><input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是 (If no, please complete Section 6. 如果不是, 請填寫 6)</p>

4 ULTIMATE BENEFICIAL OWNER/ PERSON ULTIMATELY BENEFITING FROM THE TRANSACTIONS AND BEARING THE RISKS/ PERSON ULTIMATELY RESPONSIBLE FOR ORIGINATING INSTRUCTIONS FOR THE ACCOUNT (PLEASE COPY THIS PAGE TO COMPLETE IF MORE THAN 1 PERSON AND SIGN ON THE SUPPLEMENTARY PAGE) 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 (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 Name²: 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: 電郵地址:			
Education 教育程度: <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> College 大專 <input type="checkbox"/> Graduate or above 大學或以上			
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			
Name of Employer: 受僱/自僱機構名稱:		Present Position³: 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): 公司電郵地址(可選填):			
Relationship between Account Holder and UBO / person ultimately benefiting from the transactions and bearing the risk / person ultimately responsible for originating instructions for the account : 客戶與最終實益擁有人之關係/客戶與最終受益於交易及承擔風險人士之關係/客戶與最終負責發出指示的人士之關係:_____			
Net Worth (HK\$):	<= \$500,000 \$5,000,001-\$10,000,000	\$500,001-\$1,000,000 \$10,000,001-\$50,000,000	\$1,000,001-\$5,000,000 \$50,000,001-\$100,000,000
淨資產(港幣):	> \$100,000,000, please specify 須註明 ⁵ :		
Source of Wealth 財富來源	Salary / Business Income 薪俸/營業收入 Sale of Investments 投資回報 Retirement Funds 退休金 Others 其他:_____	Savings 儲蓄 Inheritance / Gift 遺產/贈物 Sale of Property / Assets 出售物業/資產	

5 SELF –CERTIFICATION DECLARATION OF RESIDENCE FOR TAX PURPOSE 稅務居民身份聲明

Important Notice to Customer(s): Please read this section before completing this form.

客戶須知：填寫此表格前，請先閱讀本節。

Financial institutions are not allowed to provide tax advice.

If you have any questions regarding this form or defining your tax residency status, please speak to your tax adviser or relevant tax authority.

Please find out more on the OECD website (<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>), including a list of

jurisdictions that have signed agreements to exchange information automatically, along with details about the information being requested.

金融機構均不允許給予客戶稅務諮詢。

如果您對此表格或您的稅務居民身份定義有任何疑問，請聯繫您的稅務顧問或相關稅務機關。您可以從經濟合作與發展組織(OECD)自動訊息交換網站，獲取更多詳情，包括已簽署自動交換信息協議的司法管轄區的名單及被請求交換的有關信息。

(<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>)

Please note that where there are joint account holders or with third party under Section 6, each account holder and third party is required to complete a separate Self-Certification form.

請注意：如果客戶為聯名帳戶或第六項為第三者，各聯名帳戶持有人及第三者必須各自填寫一份自我聲明書。

You may be asked to provide additional documents to evidence the declaration made on this form.

您可能被要求提供額外證明文件，以核實此表格上之內容。

I hereby confirm that I am, for tax purposes, resident in the following countries.

本人聲明本人為下列司法管轄區之稅務居民。

If a TIN is unavailable, please provide the appropriate reason A, B or C:

如未能提供稅務編號，請填寫理由 A, B 或 C。

Reason A The jurisdiction where the Account Holder is a resident for tax purposes does not issue TINs to its residents.
理由 A 帳戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

Reason B The Account Holder is unable to obtain a TIN or equivalent number. (Please explain why you are unable to obtain a TIN in the below table)
理由 B 帳戶持有人不能取得稅務編號。(請在下表中解釋不能取得稅務編號的原因)

Reason C TIN is not required. Select this reason only if the authorities of the jurisdiction of tax residence do not require the TIN to be disclosed.
理由 C 帳戶持有人毋須提供稅務編號。(這理由只適用於居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。)

Primary Client 客戶

Jurisdiction of Residence 稅務居民司法管轄地	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如未能提供稅務編號， 請填寫理由 A, B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選擇理由 B，請提供不能取得稅務編號的原因

Additional Disclosure (if applicable) 額外披露 (如適用)

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6 PERSONAL DATA 個人資料 (Please tick the appropriate box. 請在適當空格加)

Acknowledgement and Consent 確認明白及同意

I/We acknowledge I/we have read and understand the content of the Personal Information Collection Statement of Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and Guotai Junan Assets (Asia) Limited (individually or collectively "GTJA"), which has been provided to me/us and is posted on GTJA's website (www.gtjai.com). By ticking the box below, I/we signify my/our consent for GTJA to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement. I/We further agree to any revision or amendment that GTJA may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us. 本人/吾等確認已閱讀及明白獅瀚環球證券(香港)有限公司、獅瀚環球期貨(香港)有限公司、獅瀚環球外匯有限公司及獅瀚環球資產管理(亞洲)有限公司(各稱或合稱「獅瀚環球」)之個人資料收集聲明之內容，該聲明已提供給本人/吾等並在獅瀚環球的網站(www.gtjai.com)上發佈。在下列方格加上剔號，表示本人/吾等同意獅瀚環球按照個人資料收集聲明之條款及目的使用本人/吾等的個人資料。本人/吾等亦同意可在通知本人/吾等的情况下不時修改個人資料收集聲明之內容。

- ☐ I/We agree to GTJA's use of my/our personal data for the purposes set out in the Personal Information Collection Statement. I/We further agree to any revision or amendment that GTJA may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us. 本人/吾等同意獅瀚環球按照個人資料收集聲明之目的使用本人/吾等的個人資料。本人/吾等亦同意獅瀚環球可在通知本人/吾等的情况下不時修改個人資料收集聲明之內容。
- ☐ I/We agree to GTJA's use of my/our sensitive personal data for the purposes set out in the Personal Information Collection Statement. I/We further agree to any revision or amendment that GTJA may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us. 本人/吾等同意獅瀚環球按照個人資料收集聲明之目的使用本人/吾等的敏感個人資料。本人/吾等亦同意獅瀚環球可在通知本人/吾等的情况下不時修改個人資料收集聲明之內容。
- ☐ I/We agree to GTJA's cross-border transfer of my/our personal data for the purposes set out in the Personal Information Collection Statement. I/We further agree to any revision or amendment that GTJA may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us. 本人/吾等同意獅瀚環球按照個人資料收集聲明之目的將本人/吾等個人資料跨境轉移。本人/吾等亦同意獅瀚環球可在通知本人/吾等的情况下不時修改個人資料收集聲明之內容。

Direct Marketing 直接促銷

I/We confirm my/our consent as referred to in the sections entitled Use of Personal Data in Direct Marketing and Provision of Personal Data for Use in Direct Marketing of the Personal Information Collection Statement, subject to any objection as indicated by me/us below: 除本人/吾等如下所示提出之任何反對外，本人/吾等確認同意個人資料收集聲明內以個人資料在直接促銷中的使用及提供個人資料作直接促銷為標題之內容：

- ☐ I/We object to GTJA using my/our personal data in direct marketing as referred to in the section entitled Use of Personal Data in Direct Marketing of the Personal Information Collection Statement. 本人/吾等反對獅瀚環球按個人資料收集聲明內以個人資料在直接促銷中的使用為標題的分段所述，將本人/吾等之個人資料作直接促銷用途。
- ☐ I/We object to GTJA providing my/our personal data to GTJA Group (other than GTJA) for use in direct marketing as referred to in the section entitled Provision of Personal Data for Use in Direct Marketing of the Personal Information Collection Statement. 本人/吾等反對獅瀚環球按個人資料收集聲明內以提供個人資料作直接促銷為標題的分段所述，向獅瀚環球集團(不包括獅瀚環球本公司)提供本人/吾等之個人資料作直接促銷用途。

The above represents my/our present choice of whether or not to receive direct marketing contact or information. This shall replace any choice I/we may have given to GTJA previously.

以上乃本人/吾等對是否收取直接促銷之聯系或資料之選擇。這會取代本人/吾等過往作出之選擇。

7 DECLARATION 聲明 (Please tick the appropriate box. 請在適當空格加)

I/We hereby declare that I/we am/are the only party who has the ultimate interests in the Account and the information given in this form is true and correct and that I/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 my/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 my/our application.

本人/吾等謹此聲明本人/吾等為帳戶的最終實益擁有人，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/吾等明白本人/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。

I/We request you to open a Securities Trading/ Derivatives Trading/ Foreign Exchange Trading/ Stock Options Trading Account ("the Account") and agree to abide by the rules and regulations of the Hong Kong Securities and Futures Commission ("SFC")/ The Stock Exchange of Hong Kong Limited ("SEHK")/ The Hong Kong Futures Exchange Limited ("HKFE") or any other regulatory body(ies) as amended from time to time governing of the above transactions.

本人/吾等向閣下申請開立證券交易/衍生工具交易/外匯交易/股票期權交易帳戶並同意遵守香港證券及期貨監察委員會/香港交易所/香港期貨交易所及其他監管機構不時修訂以監管進行上述交易之條例及規則。

Declaration regarding tax compliance (please tick all the boxes that apply) 有關稅務合規之聲明(請在所有適當的空格加)

☐ 1. I/We hereby confirm and declare that, to the best of my knowledge, I/we have not committed or been convicted of tax crimes or tax evasion cases in any country/jurisdiction.

本人/吾等在此確認並聲明就本人/吾等所知所信，本人/吾等未曾作出避稅或稅務罪行等行為，並未曾就有關罪行在任何國家/司法管轄區被定罪。

☐ 2. I/We hereby confirm and declare that I/we am/are currently under tax investigation or tax audit in the below country(ies)/jurisdiction(s):

本人/吾等在此確認並聲明，本人/吾等目前正在以下國家/司法管轄區接受稅務調查或稅務審計：

Name(s) of country(ies)/jurisdiction(s): 國家/司法管轄區:

☐ 3. I/We hereby confirm and declare that I/we have committed or convicted of tax crimes or tax evasion cases in the below jurisdictions:

本人/吾等在此確認並聲明，本人/吾等曾作出避稅或稅務罪行等行為，或曾就有關罪行在任何國家/司法管轄區被定罪。

Name(s) of country(ies)/jurisdiction(s): 國家/司法管轄區:

Relevant Year(s) to which such tax crimes/evasion was committed/convicted:

稅務/逃稅犯罪/定罪年期:

☐ 4. I/We would like to provide additional information regarding my/our tax compliance:

本人/吾等欲提供關於本人/吾等的稅務合規的其他信息:

Declaration for Automatic Exchange of Financial Account Information 有關自動交換金融帳戶信息協議之聲明

I/We acknowledge that the information contained in this form and information regarding the account holder may be reported to any local or foreign governmental, regulatory or tax authorities or bodies (including but not limited to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region of the People's Republic of China and the U.S. Internal Revenue Service), and to any other local foreign persons or entities required or directed by applicable laws, regulations, practices or guidelines (including but not limited to the Hong Kong Inland Revenue Ordinance, any local implementation of the OECD Standard for Automatic Exchange of Financial Information in Tax Matters/Common Reporting Standard, the U.S. Foreign Account Tax Compliance Act (FATCA) and local implementation hereof, and any similar tax information sharing regime put in place in Hong Kong or any other relevant jurisdiction) or deemed necessary by Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited; and stored, used and disclosed by Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited so that it can comply with obligations, commitments, arrangement or market practices in relation to providing services to me.

本人/吾等明白既承認此聲明書及有關本人及須申報賬戶的任何資料可向任何本地或海外政府、監管或稅務機關或機構(包括但不限於中華人民共和國香港特別行政區政府稅務局及美國國稅局)提供，以及向適用法例、法規、慣例或指引(包括但不限於香港稅務條例、任何在本地實施的「OECD「經濟合作與發展組織稅務金融訊息自動交換標準/通用報告準則」、美國《外國賬戶稅收合規法案》及在香港或其他相關司法管轄地已落實的同類稅務資訊共用制度)所規定或指示或獅瀚環球證券(香港)有限公司、獅瀚環球期貨(香港)有限公司、獅瀚環球外匯有限公司及/或獅瀚環球資產管理(洲)有限公司認為必要的任何其他本地或海外人士或單位提供；及可由獅瀚環球證券(香港)有限公司、獅瀚環球期貨(香港)有限公司、獅瀚環球外匯有限公司及/或獅瀚環球資產管理(洲)有限公司存儲、使用及披露，以便其遵從有關向本人提供服務的義務、承諾、安排或市場慣例。

I/We undertake to advise Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited of on any change in circumstances which affects the tax residency status of the individual identified or cause the information contained herein to become incorrect, and to provide Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited with a suitably updated Self-Certification form within 30 calendar days of such change in circumstances.

本人/吾等諾如以上聲明有任何情況改變，而影響識別個人的稅務收居民身份有任何變化或導致此自我聲明之內容及陳述變得不再正確的信息時，將通知獅瀚環球證券(香港)有限公司、獅瀚環球期貨(香港)有限公司、獅瀚環球外匯有限公司及/或獅瀚環球資產管理(洲)有限公司，並於情況改變發生的三十日內向獅瀚環球證券(香港)有限公司、獅瀚環球期貨(香港)有限公司、獅瀚環球外匯有限公司及/或獅瀚環球資產管理(洲)有限公司重新提供正確的自我聲明書。

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 relevant laws and regulations, 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/吾等被邀請就有關法律法規、佣金及於服務收費表、風險披露聲明，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/吾等有能力並願意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

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(s).

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

☐ **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關於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

