

## ACCOUNT RE-ACTIVATION FORM (CORPORATE ACCOUNT) 重新啟動不動戶表格 (公司客戶)

Account Number 賬戶號碼	Account Name 賬戶名稱
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<input type="checkbox"/> <b>Securities 證券賬戶</b>	
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### Part A: CUSTOMER PARTICULARS 客戶資料

#### 1 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):
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Type of Company 公司類別: <input type="checkbox"/> State-owned Company 國有企業 <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Partnerships and Unincorporated bodies 合夥及非法團團體 <input type="checkbox"/> Fund Management/Asset Management 基金管理/資產管理 <input type="checkbox"/> Local Government Financing Vehicles (LGFV) 地方融資平台	<input type="checkbox"/> Listed Company 上市公司 Stock Code 股票代號: _____ Country 國家: _____ Exchange 交易所/Market 市場: _____ <input type="checkbox"/> Not-for-Profit Organization 非牟利組織 <input type="checkbox"/> Non-Bank Financial Institution 非銀行金融機構 <input type="checkbox"/> Others (please state) 其他 (請註明): _____
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Client Type for Investor Identification Purpose 投資者識別碼客戶類別: <input type="checkbox"/> Funds 基金 <input type="checkbox"/> Fund Managers 基金經理 <input type="checkbox"/> Relevant Regulated Intermediary 相關受規管中介人 <sup>1</sup> <input type="checkbox"/> Others 其他	
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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)	
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Registered Office Address: 註冊地址:	Country 國家:
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Principle Address of Business: 主要營業地址:	Country 國家:
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Correspondence Address 通訊地址:	Country 國家:
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E-mail address: 電郵地址:	
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Preferred mailing method 請選擇您的通訊方式: <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	
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Please provide relevant identity document and fill in details in following descending order of priority<sup>1</sup>.  
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<sup>1</sup>。  
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:
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Location where Major Business is Operated: 主要業務營運地區:
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(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: ( )
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Mobile Phone No. for OTP for Internet trading services of Trading Account 獲取交易賬戶網上交易服務「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: ( )	
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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 specific 須註明 <sup>2</sup> :	<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	
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<sup>1</sup> A Relevant Regulated Intermediary also refers to an LC or RI which (i) carries out proprietary trading; or (ii) provides securities brokerage services for another person in respect of orders placed through an account opened and maintained for that person. 相關受規管中介人指符合以下說明的持牌法團或註冊機構：(i)進行自營交易，或(ii)就透過為另一人開立和維持的賬戶發出的交易指令向該人提供證券經紀服務。

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 specific 須註明 <sup>3</sup> :	<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 specific 須註明 <sup>4</sup> :	<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 specific 須註明 <sup>5</sup> :	<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 :	

<sup>1</sup> 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. 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。

<sup>2</sup> 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全年營業額超過\$100,000,000。

<sup>3</sup> 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。

<sup>4</sup> 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。

<sup>5</sup> 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。

2 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		

<b>3 KNOWLEDGE OF DERIVATIVES 衍生產品的認識</b> (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 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」) <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

<b>4 DIRECTOR INFORMATION 董事資料</b> (Please tick appropriate box. 請在適當空格加✓)	
<b>DIRECTOR 1</b> <b>董事 1</b>	
(1) Name 姓名	
(2) Date of Birth 出生日期	
(3) <input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照	No.號碼：
(4) Nationality 國籍	
<b>DIRECTOR 2</b> <b>董事 2</b>	
(1) Name 姓名	
(2) Date of Birth 出生日期	
(3) <input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照	No.號碼：
(4) Nationality 國籍	
<b>DIRECTOR 3</b> <b>董事 3</b>	
(1) Name 姓名	
(2) Date of Birth 出生日期	
(3) <input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照	No.號碼：
(4) Nationality 國籍	
<b>DIRECTOR 4</b> <b>董事 4</b>	
(1) Name 姓名	
(2) Date of Birth 出生日期	
(3) <input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照	No.號碼：
(4) Nationality 國籍	
<b>DIRECTOR 5</b> <b>董事 5</b>	
(1) Name 姓名	
(2) Date of Birth 出生日期	
(3) <input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照	No.號碼：
(4) Nationality 國籍	

5 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	<p>Company Name 公司名稱：_____</p> <p><input type="checkbox"/> State-owned Company 國有企業：Country 國家：_____</p> <p><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：_____</p> <p><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：_____</p> <p>Shareholding 所佔股權 (%) _____</p>
2	<p>Company Name 公司名稱：_____</p> <p><input type="checkbox"/> State-owned Company 國有企業：Country 國家：_____</p> <p><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：_____</p> <p><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：_____</p> <p>Shareholding 所佔股權 (%) _____</p>
3	<p>Company Name 公司名稱：_____</p> <p><input type="checkbox"/> State-owned Company 國有企業：Country 國家：_____</p> <p><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：_____</p> <p><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：_____</p> <p>Shareholding 所佔股權 (%) _____</p>
4	<p>Company Name 公司名稱：_____</p> <p><input type="checkbox"/> State-owned Company 國有企業：Country 國家：_____</p> <p><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：_____</p> <p><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：_____</p> <p>Shareholding 所佔股權 (%) _____</p>
5	<p>Company Name 公司名稱：_____</p> <p><input type="checkbox"/> State-owned Company 國有企業：Country 國家：_____</p> <p><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：_____</p> <p><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：_____</p> <p>Shareholding 所佔股權 (%) _____</p>

## 6 TRADING AUTHORISATION 交易授權

The undersigned individuals are authorized to give trading instructions, whether orally or in writing, on behalf of the Applicant in the Accounts; and The names, particulars and specimen signatures of the Authorised Trader (s) are listed below:

以下授權人士均代表申請人對賬戶以書面或口頭形式發出交易命令或指示，而授權人士之姓名、資料及簽名樣式如下：

Please provide the original or certified true copy of the board resolution for the updates.

請提供董事會決議的正本或驗證副本以作更新。

### 授權交易員 1 Authorised Trader 1

Name (Chinese and English) 姓名（中文及英文）	Name: _____ 姓名： _____	Date of Birth 出生日期	
<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照	No.號碼：_____	Nationality 國籍	
Contact Tel. No. 聯絡電話號碼	(Country Code)(國家區號) ( )	Email Address 電郵地址	
Specimen Signatures 簽名樣式			

### 授權交易員 2 Authorised Trader 2

Name (Chinese and English) 姓名（中文及英文）	Name: _____ 姓名： _____	Date of Birth 出生日期	
<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照	No.號碼：_____	Nationality 國籍	
Contact Tel. No. 聯絡電話號碼	(Country Code)(國家區號) ( )	Email Address 電郵地址	
Specimen Signatures 簽名樣式			

### 授權交易員 3 Authorised Trader 3

Name (Chinese and English) 姓名（中文及英文）	Name: _____ 姓名： _____	Date of Birth 出生日期	
<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照	No.號碼：_____	Nationality 國籍	
Contact Tel. No. 聯絡電話號碼	(Country Code)(國家區號) ( )	Email Address 電郵地址	
Specimen Signatures 簽名樣式			

### 授權交易員 4 Authorised Trader 4

Name (Chinese and English) 姓名（中文及英文）	Name: _____ 姓名： _____	Date of Birth 出生日期	
<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照	No.號碼：_____	Nationality 國籍	
Contact Tel. No. 聯絡電話號碼	(Country Code)(國家區號) ( )	Email Address 電郵地址	
Specimen Signatures 簽名樣式			

## 7 SIGNING ARRANGEMENT 簽名安排

Any \_\_\_\_\_ of the undersigned individuals are authorized to deposit/withdraw fund/shares to/from the Account, give settlement instructions and any other instructions on behalf of the Client:

以下任何\_\_\_\_位授權人士簽署均可代表公司對賬戶進行資金/股票存儲/提取，發出清算指令和其他有關賬戶的指令：

Please provide the original or certified true copy of the board resolution for the updates.

請提供董事會決議的正本或驗證副本以作更新。

授權簽署人 1 Authorised Signatories 1			
Name (Chinese and English) 姓名（中文及英文）	Name: _____ 姓名： _____	Date of Birth 出生日期	
<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照	No.號碼：_____	Nationality 國籍	
Contact Tel. No. 聯絡電話號碼	(Country Code)(國家區號) ( )	Email Address 電郵地址	
Specimen Signatures 簽名樣式			
授權簽署人 2 Authorised Signatories 2			
Name (Chinese and English) 姓名（中文及英文）	Name: _____ 姓名： _____	Date of Birth 出生日期	
<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照	No.號碼：_____	Nationality 國籍	
Contact Tel. No. 聯絡電話號碼	(Country Code)(國家區號) ( )	Email Address 電郵地址	
Specimen Signatures 簽名樣式			
授權簽署人 3 Authorised Signatories 3			
Name (Chinese and English) 姓名（中文及英文）	Name: _____ 姓名： _____	Date of Birth 出生日期	
<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照	No.號碼：_____	Nationality 國籍	
Contact Tel. No. 聯絡電話號碼	(Country Code)(國家區號) ( )	Email Address 電郵地址	
Specimen Signatures 簽名樣式			
授權簽署人 4 Authorised Signatories 4			
Name (Chinese and English) 姓名（中文及英文）	Name: _____ 姓名： _____	Date of Birth 出生日期	
<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照	No.號		
:	Nationality 國籍		
Contact Tel. No. 聯絡電話號碼	(Country Code)(國家區號) ( )	Email Address 電郵地址	
Specimen Signatures 簽名樣式			

**8 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賬戶?

☐ No 沒有 ☐ Yes 有 (If yes, please specify 如有, 請註明賬號: \_\_\_\_\_)

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, 請註明賬號: \_\_\_\_\_)

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、司法或軍事官員、國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)處理賬戶?

☐ No 不是 ☐ Yes 是



<b>9 ULTIMATE BENEFICIAL OWNER/ PERSON ULTIMATELY BENEFITING FROM THE TRANSACTIONS AND BEARING THE RISKS/ PERSON ULTIMATELY RESPONSIBLE FOR ORIGINATING INSTRUCTIONS FOR THE ACCOUNT</b> <b>(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)</b> <b>(PLEASE COPY THIS PAGE TO COMPLETE IF MORE THAN 1 PERSON AND SIGN ON THE SUPPLEMENTARY PAGE)</b> <b>(如多於 1 人，請複印此頁填寫，並在附加頁上簽署)</b> <b>(Please tick the appropriate box. 請在適當空格加✓)</b>					
<input type="checkbox"/> <b>ULTIMATE BENEFICIAL OWNER</b> 最終實益擁有人		<input type="checkbox"/> <b>PERSON ULTIMATELY BENEFITING FROM THE TRANSACTIONS AND BEARING THE RISKS</b> 最終受益於交易及承擔風險人士		<input type="checkbox"/> <b>PERSON ULTIMATELY RESPONSIBLE FOR ORIGINATING INSTRUCTIONS FOR THE ACCOUNT</b> 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	<b>Last Name (English):</b> 英文姓:	<b>First Name (English):</b> 英文名:	<b>Chinese Name:</b> 中文姓名:		
<input type="checkbox"/> ID Card No.: 身份證號碼:	<input type="checkbox"/> Place of Issue of ID Card: 身份證發出地:	<input type="checkbox"/> Passport No.: 護照號碼:	<input type="checkbox"/> Place of Issue of Passport: 護照發出地:		
<b>Former Name<sup>4</sup>:</b> 前名:		<b>Country of Birth:</b> 出生國家:		<b>Date of Birth:</b> 出生日期:	
<b>Nationality (Please fill in more than one as appropriate):</b> 國籍(可填寫多於一個):			<b>Marital Status:</b> <input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚 婚姻狀況:		
<b>Residential Address:</b> 住宅地址:			<b>Country 國家:</b>		
<b>Permanent Address (if different from Residential Address):</b> 永久地址 (如與住宅地址不同):			<b>Country 國家:</b>		
<b>(Country Code) Home Tel. No.:</b> (國家區號) 住宅電話號碼: (     )			<b>(Country Code) Mobile Phone No.:</b> (國家區號) 手提電話號碼: (     )		
<b>E-mail Address:</b> 電子郵件地址:					
<b>Shareholding 所佔股權(%):</b>			<b>Control 所佔控制權(%):</b>		
<b>Employment 就業情況:</b> <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Employed 受僱  <input type="checkbox"/> Unemployed 無業         </div> <div> <input type="checkbox"/> Self-employed 自僱  <input type="checkbox"/> Housewife 家庭主婦         </div> <div> <input type="checkbox"/> Retired 退休  <input type="checkbox"/> Student 學生         </div> </div>					
<b>Nature of Business 業務性質</b> (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)					
<b>Name of Employer:</b> 受僱/自僱機構名稱:			<b>Present Position:</b> 現時職位:		
<b>Office Address:</b> 辦公室地址:			<b>Country 國家:</b>		
<b>(Country Code) Office Tel. No. (Optional):</b> (國家區號) 辦公室電話號碼(可選填): (     )			<b>(Country Code) Fax No. (Optional):</b> (國家區號) 傳真機號碼(可選填): (     )		
<b>Company E-mail Address (Optional):</b> 公司電子郵件地址(可選填):					
<b>Annual Income (HK\$):</b> <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> ≤ \$250,000  <input type="checkbox"/> \$1,000,001-\$5,000,000  <input type="checkbox"/> &gt; \$10,000,000, please specific 須註明 <sup>1</sup>: <span style="border: 1px solid black; padding: 0 20px;"></span> </div> <div> <input type="checkbox"/> \$250,001-\$500,000  <input type="checkbox"/> \$5,000,001-\$10,000,000         </div> <div> <input type="checkbox"/> \$500,001-\$1,000,000         </div> </div>					
<b>Net Worth (HK\$) <sup>3</sup>:</b> <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> ≤ \$500,000  <input type="checkbox"/> \$5,000,001-\$10,000,000  <input type="checkbox"/> &gt; \$100,000,000, please specific 須註明 <sup>2</sup>: <span style="border: 1px solid black; padding: 0 20px;"></span> </div> <div> <input type="checkbox"/> \$500,001-\$1,000,000  <input type="checkbox"/> \$10,000,001-\$50,000,000         </div> <div> <input type="checkbox"/> \$1,000,001-\$5,000,000  <input type="checkbox"/> \$50,000,001-\$100,000,000         </div> </div>					
<b>Source of Wealth 財富來源</b> <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Salary / Business Income 薪俸/營業收入  <input type="checkbox"/> Sale of Investments 投資回報  <input type="checkbox"/> Retirement Funds 退休金  <input type="checkbox"/> Others 其他: _____         </div> <div> <input type="checkbox"/> Savings 儲蓄  <input type="checkbox"/> Inheritance / Gift 遺產/贈物            (Please fill Appendix B 請填附錄乙)  <input type="checkbox"/> Sale of Property / Assets 出售物業/資產         </div> </div>					

<sup>1</sup> 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。

<sup>2</sup> 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。

<sup>3</sup> 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

<sup>4</sup> Please provide copies of documents proving alternation of name. 請提供更改名稱證明文件複印本。



**10 SELF-CERTIFICATION DECLARATION OF RESIDENCE FOR TAX PURPOSE 稅務居民身份自我聲明**

**Entity Type 實體類別**

*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/>)

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

您可能會被要求提供額外證明文件, 以核實此表格上之內容。

I / We (on behalf of the entity) certify that the entity is 本人/吾等(代表本實體)聲明本實體是:

☐ Financial Institution 財務機構

Specify Type 選項類別:

- ☐ Investment Entity that is managed by another Financial Institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction. Note: This entity is reclassified as a Passive NFE ("Passive Non-Financial Entity") – Please complete "Controlling Person" below  
另一財務機構管理(例如: 擁有酌情權管理投資實體的資產)並位於非參與稅務管轄區的投資實體  
(註: 此類實體被重新分類為被動非財務實體-請填寫"控權人士")

- ☐ Other Financial Institution – Depository Institution, Custodial Institution, Specified Insurance Company, and Investment Entity not described above  
其他金融機構 - 存款機構、託管機構、指明保險公司, 及非上列之投資實體

☐ NFE ("Non-Financial Entity") 非財務實體

Specify Type 選項類別:

- ☐ NFE the stock of which is regularly traded on \_\_\_\_\_, which is an established securities market  
該非財務實體的股票經常在 \_\_\_\_\_ (一個具規模證券市場) 進行買賣

- ☐ Related entity of \_\_\_\_\_, the stock of which is regularly traded on \_\_\_\_\_, which is an established securities market.  
\_\_\_\_\_ 的有關連實體, 該有關連實體的股票經常在 \_\_\_\_\_ (一個具規模證券市場) 進行買賣

- ☐ NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities  
政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體

- ☐ Active NFE other than the above Indicate Status: \_\_\_\_\_  
其他主動非財務實體 詳細類別: \_\_\_\_\_

- ☐ Passive NFE (other than Investment Entity that is managed by another financial institution and located in a non-participating jurisdiction) - Please complete "Controlling Person" below  
被動非財務實體 (位於非參與稅務管轄區並由另一財務機構管理的投資實體除外) - 請填寫"控權人士"

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 理由 A	The jurisdiction where the Account Holder is a resident for tax purposes does not issue TINs to its residents. 賬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 理由 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) 賬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 理由 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. 賬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賬戶持有人披露稅務編號。)

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

#### Controlling Person(s) 控權人士

To be completed by entity that is classified as a Passive NFE/NFFE (including an Investment Entity located in an AEOI Non-Participating Jurisdiction and managed by another Financial Institution that is reclassified as a Passive NFE).

此部分只供被分類為被動非財務(海外)實體填寫(包括被重新分類為被動非財務實體之位於非參與稅務管轄區並由另一財務機構管理的投資實體)。

For each Controlling Person, fill in ALL jurisdiction(s) and the associated TIN(s) where that Controlling Person is a tax resident (including U.S. and Macau, where applicable). Please note that Controlling Person refer to natural person who meet specified requirements. If the entity has more than four Controlling Persons, please use an additional Self-Certification Form.

就每位控權人士而言，必須填寫持有稅籍之所有司法管轄地及有關稅籍編號（包括美國和澳門，如適用）。請留意控權人士代表符合指定條件之自然人。如果有超過 4 位控權人士，請使用額外的自我聲明書。

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 理由 A	The jurisdiction where the Controlling Person is a resident for tax purposes does not issue TINs to its residents. 控權人士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 理由 B	The Controlling Person is unable to obtain a TIN or equivalent number. (Please explain why you are unable to obtain a TIN in the below table) 控權人士不能取得稅務編號。(請在下表中解釋不能取得稅務編號的原因)
Reason C 理由 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. 控權人士毋須提供稅務編號。(這理由只適用於居留司法管轄區的主管機關不需要控權人士披露稅務編號。)

控權人士之姓名 Name of Controlling Person ("CP")		控權人士稅務居民司法管轄地 All Jurisdiction(s) of Tax Residence of CP	控權人士在該司法管轄地持有稅籍之稅籍編號， 如果不能提供稅務編號，請填寫理由 A, B 或 C TIN(s) for Each Jurisdiction of Tax Residence of CP or Provide Reason A, B or C if TIN is unavailable
控權 人士 1 CP1			

控權人士之姓名 Name of Controlling Person ("CP")		控權人士稅務居民司法管轄地 All Jurisdiction(s) of Tax Residence of CP	控權人士在該司法管轄地持有稅籍之稅籍編號， 如果不能提供稅務編號，請填寫理由 A, B 或 C TIN(s) for Each Jurisdiction of Tax Residence of CP or Provide Reason A, B or C if TIN is unavailable
控權 人士 2 CP2			
控權 人士 3 CP3			
控權 人士 4 CP4			

在適當方格內加上✓號，指出控權人就實體所屬的控權人類別。

Please tick the appropriate box to indicate the type of controlling person for each controlling person.

實體類別 Type of Entity	控權人類別 Type of Controlling Person	控權 人士 1 CP1	控權 人士 2 CP2	控權 人士 3 CP3	控權 人士 4 CP4
法人 Legal Person	擁有控制股權的個人（就法團而言，個人擁有/控制超過 25%的已發行股本； 就合夥法團而言，個人控制超過 0%合夥權益） Individual who has a controlling ownership interest (i.e. for a corporation or partnership, more than 25% or 0% of issued share capital/profits respectively)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	以其他途徑行使控制權或有權行使控制權的個人（就法團而言，個人控制超 過25%的投票權；就合夥法團而言，個人控制超過0%投票權） Individual who exercises control / entitled to exercise control through other means (i.e. for a corporation or partnership, more than 25% or 0% of voting rights respectively)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人 Individual who holds the position of senior managing official / exercises ultimate control over the management of the entity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
信託 Trust	財產授予人 Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受託人 Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	保護人 Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受益人或某類別受益人的成員 Beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	其他（例如：如財產授予人/受託人/保護人/受益人為另一實體，對該實體 行使控制權的個人） Others (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

除信託以外的 法律安排 Legal Arrangement other than Trust	處於相等/相類於財產授予人位置的個人 Individual in a position equivalent or similar to settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等/相類於受託人位置的個人 Individual in a position equivalent or similar to trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等/相類於保護人位置的個人 Individual in a position equivalent or similar to protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等/相類於受益人或某類別受益人的成員位置的個人 Individual in a position equivalent or similar to beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	其他(例如: 如處於相等/相類於財產授予人/受託人/保護人/受益人位置的人為另一實體, 對該實體行使控制權的個人) Other (e.g. individual who exercises control over another entity being equivalent/similar to settler / trustee / protector / beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
控權人士之居住地址 Residence Address of Controlling Person					
控權人士 1 CP1	(城市) (City)		(國家) (Country)		
控權人士 2 CP2	(城市) (City)		(國家) (Country)		
控權人士 3 CP3	(城市) (City)		(國家) (Country)		
控權人士 4 CP4	(城市) (City)		(國家) (Country)		
控權人士之出生日期 (日/月/年) Date of Birth of Controlling Person (dd/mm/yyyy)		控權人士之出生地點 (城市以及國家) Place of Birth of Controlling Person (City & Country)			
控權人士 1 CP1	(城市) (City)		(國家) (Country)		
控權人士 2 CP2	(城市) (City)		(國家) (Country)		
控權人士 3 CP3	(城市) (City)		(國家) (Country)		
控權人士 4 CP4	(城市) (City)		(國家) (Country)		
Additional Disclosure (if applicable) 額外披露 (如適用)					
Warning: The information and data collected in this form may be reported to the Macau SAR Government for the purpose of automatic exchange of financial account information enacted under Law no. 5/2017 as amended by Law no. 1/2022. If any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular, a person may contravene the relevant laws and regulations of Macau. 警告: 本表格所收集以作自動交換財務資料用途之資料可能會根據經第 1/2022 號法律修改第 5/2017 號法律向澳門特別行政區政府申報。如任何人在作出自我證明時, 在明知一項陳述在要項上屬具誤導性、虛假或不正確, 或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下作出該項陳述, 該人將有可能觸犯澳門相關法律法規而構成違法。					

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete. 本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Note: In regard to the interpretation of any terms, words or concepts in this self-certification form, please consult article 8 of Dispatch of the Chief Executive no.232/2020 of the "Common Reporting Standard and Due Diligence Procedures".

備註：就本表格所採用術語的釋義，請參考第 232/2020 號行政長官批示《金融帳戶信息的通用報送標準及盡職調查程序》第八條。

In the event of any inconsistency between the English and Chinese language text on this Self-Certification form, the Chinese version will prevail and all information provided by you on this form will be treated as addressing the Chinese text.

如此表格的中、英文兩個版本有任何不相符之處，應以中文版本為準，所有您在此聲明書提供的資料會被視為回應中文版本原文。

## 11 FATCA INFORMATION 海外賬戶稅收合規法案資料 (Please tick appropriate box. 請在適當空格加✓)

- Is your company a "Specified U.S. Person"<sup>1</sup> 貴公司是否"指定美國人士"<sup>1</sup>?  
☐ NO 否 ☐ YES 是, please specify TIN 請提供稅務身份號碼 \_\_\_\_\_
- Is your company a "Foreign Financial Institution (FFI)" 貴公司是否"海外金融機構"?  
☐ NO 否 ☐ YES 是 (Please answer 3 請回答 3)
- If 2 is "YES", please tick in the box 如 2 "是", 請在格內劃上剔號:  

<input type="checkbox"/> Participating FFI 參與法案的海外金融機構	<input type="checkbox"/> Registered Deemed Compliant FFI 已註冊被視作合規的海外金融機構
<input type="checkbox"/> Reporting Model 1 FFI 以版本一申報的海外金融機構	<input type="checkbox"/> Reporting Model 2 FFI 以版本二申報的海外金融機構
<input type="checkbox"/> Certified Deemed Compliant FFI 經認證被視作合規的海外金融機構	<input type="checkbox"/> Owner-Documented FFI 已提供所有人資訊的海外金融機構
<input type="checkbox"/> Sponsored FFI that has not obtained a GIIN 不具 GIIN 之受贊助的海外金融機構	<input type="checkbox"/> Non-Participating FFI 不參與法案的海外金融機構
<input type="checkbox"/> Exempt Beneficial Owner 豁免實益擁有人	<input type="checkbox"/> Others 其他: _____
- If you are a "Participating FFI", "Registered Deemed Compliant FFI", "Reporting Model 1 FFI" or "Reporting Model 2 FFI", please provide GIIN 如貴公司屬於"參與法案的海外金融機構"、"已註冊被視作合規的海外金融機構"、"以版本一申報的海外金融機構"或"以版本二申報的海外金融機構", 請提供全球中介人身份號碼: \_\_\_\_\_
- If 2 is "No", please TICK 如 2 "否", 請在格內劃上剔號:  
☐ Active Non-Financial Foreign Entity  
實質營運的非金融海外實體  
☐ Passive Non-Financial Foreign Entity (Please answer 6)  
非實質營運的非金融海外實體 (請回答 6)
- Does your company, being a "Passive Non-Financial Foreign Entity", have controlling person that is a US citizen or resident 如貴公司, 屬於"非實質營運的非金融海外實體", 是否存在美國公民或居民控制人?  
☐ NO 否 ☐ YES 是 (Please answer 7 請回答 7)
- If 6 is "Yes", please provide the following details of the US controlling person: 如 6 "是", 請提供以下該美國控制人的詳情:  
Name 姓名: \_\_\_\_\_ Taxpayer Identification No. (TIN) 稅務身份號碼: \_\_\_\_\_  
Address 地址: \_\_\_\_\_

We hereby confirm the information provided above is true, accurate and complete. We undertake to notify Guotai Junan Securities (Macau) Company Limited within 30 calendar days if there is a change in any information which we have provided.

吾等確認以上所提供的資料是真實、準確以及完整。吾等保證吾等提供的任何資料如有變更，吾等會於三十日內通知國泰君安證券(澳門)一人有限公司。

<sup>1</sup> The term "Specified U.S. Person" means a U.S. Person, other than: (i) a corporation the stock of which is regularly traded on one or more established securities markets; (ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i); (iii) the United States or any wholly owned agency or instrumentality thereof; (iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing; (v) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code; (vi) any bank as defined in section 581 of the U.S. Internal Revenue Code; (vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code; (viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64); (ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code; (x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code; (xi) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State; (xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or (xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

"指定美國人士"是指美國人士，但不包括：(i) 其股票在一個或多個認可的證券市場上經常交易的公司；(ii) 屬於《美國國內收入法》第 1471(e)(2)條定義的、與第(i)條所述公司屬於同一擴大關聯集團的任何公司；(iii) 美國或其任何全資機關或機構；(iv) 美國的任何州、任何美國領土、上述任何一個或多個州的政治分支或其任何全資機關或機構；(v) 根據《美國國內收入法》第 501(a)(37)條定義的個人退休計畫；(vi) 《美國國內收入法》第 581 條定義的任何銀行；(vii) 《美國國內收入法》第 856 條定義的任何房地產投資信託；(viii) 屬於《美國國內收入法》第 851 條定義的任何受監管的投資公司，或根據《1940 年投資公司法》(15 U.S.C. 80a-64) 向美國證券交易委員會登記的任何實體；(ix) 《美國國內收入法》第 584(a)條定義的任何共同信託基金；(x) 根據《美國國內收入法》第 664(c)條下獲豁免繳稅的任何信託，或《美國國內收入法》第 4947(a)(1)條所描述的任何信託；(xi) 根據美國或任何州的法律登記的證券、商品或衍生金融工具（包括名義本金合同、期貨、遠期合約和期權）的交易商；(xii) 《美國國內收入法》第 6045(c)條所定義的經紀人；或 (xiii) 《美國國內收入法》第 403(b)條或 457(g)條所述計畫下的任何獲豁免繳稅的信託。



The term "U.S. Person" means a U.S. citizen or resident individual, a partnership or corporation organized in the United States or under the laws of the United States or any State thereof, a trust if (i) a court within the United States would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust, and (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust, or an estate of a decedent that is a citizen or resident of the United States.

"美國人士"是指美國公民或居民的個人、在美國或根據美國或其任何州的法律組建的合夥企業或公司、信託(如(i)美國境內的法院 有權根據適用法律宣佈關於該信託的管理的絕大部分事宜的命令或判決；及(ii)一名或多名美國人士有權控制該信託的全部重大決定，或身為美國公民或居民的死者的遺產)

## 12 DECLARATION 聲明

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.

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。

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

吾等在此確認並聲明就吾等所知所信，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. We hereby confirm and declare that we are currently under tax investigation or tax audit in the below country(ies)/ jurisdiction(s):

吾等在此確認並聲明，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. We hereby confirm and declare that we have committed or convicted of tax crimes or tax evasion cases in the below jurisdictions:

吾等在此確認並聲明，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. We would like to provide additional information regarding our tax compliance:

吾等欲提供關於吾等的稅務合規的其他信息: \_\_\_\_\_

### Automatic Exchange of Financial Account Information 有關自動交換金融賬戶信息協議之聲明

I / We (on behalf of the entity) declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人/吾等(代表本實體)在此聲明本人/吾等已查閱此自我聲明書之內容及陳述，並盡本人/吾等所知及確信，聲明內容均屬真實、正確及完整。

I / We (on behalf of the entity) acknowledge that the information contained in this form and information regarding the account holder, controlling person(s) (if any) and any reportable account(s) may be reported to any local or foreign governmental, regulatory or tax authorities or bodies (including but not limited to the Financial Services Bureau of the Government of the Macau 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 Macau or any other relevant jurisdiction) or deemed necessary by Guotai Junan Securities (Macau) Company Limited; and stored, used and disclosed by Guotai Junan Securities (Macau) Company Limited so that it can comply with obligations, commitments, arrangement or market practices in relation to providing services to the entity.

本人/吾等(代表本實體)承認此聲明書及有關本實體、其控權人士(如有)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澳門特別行政區政府財政局及美國國稅局)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》及在澳門或任何其他相關司法管轄地已落實的同類稅務資訊共用制度)所規定或指示或國泰君安證券(澳門)一人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；及可由國泰君安證券(澳門)一人有限公司存儲、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 (on behalf of the entity) declare that I / We have: (a) examined the information on this Self-Certification and the relevant IRS form(s) and any attachments to these forms, and to the best of my / our knowledge and belief they are true, correct and complete; and (b) duly notified as required by any applicable laws and regulations, and obtained all necessary consent and waiver from, all equity holders of the Entity and third parties whose information may (i) appear in this Self-Certification and any IRS form(s) and any attachments to these forms described in the preceding paragraph; and/or (ii) in any way be stored, used and disclosed by Guotai Junan Securities (Macau) Company Limited pursuant to, or as contemplated in, this Self-Certification form and the relevant IRS form(s).

本人/吾等(代表本實體)在此聲明，本人/吾等已(a)查閱此自我聲明和相關美國稅務表格及其任何附件，並據本人/吾等所知及所信，該等資料真實無誤及完整；及(b)按照任何適用法律和法規的規定，向實體的所有股權持有人及第三方作出妥當通知，並已從前述人士獲得所有必要的同意和豁免，前述人士的資料可能(i)出現在此自我聲明書和前段所描述之任何稅務表格及其任何附件中；及/或(ii)國泰君安證券(澳門)一人有限公司根據此自我聲明書及相關美國稅務表格或其擬定原意，以任何方式予以存儲、使用及披露。

I / We (on behalf of the entity) undertake to advise Guotai Junan Securities (Macau) Company Limited, of any change in circumstances which affects the tax residency status of the entity identified or controlling person(s) identified (if any) of this form or cause the information contained herein to become incorrect, and to provide Guotai Junan Securities (Macau) Company Limited with a suitably updated Self-Certification form within 30 calendar days of such change in circumstances.

本人/吾等(代表本實體)承諾如以上聲明有任何情況改變而影響實體或控權人士(如有)的稅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國泰君安證券(澳門)一人有限公司，並於情況改變發生的三十日內向國泰君安證券(澳門)一人有限公司重新提供正確的聲明書。

I / We certify that I / We have the capacity to sign for the Entity identified on Page 1 and the controlling person(s) identified in Section 3 (if any) of this Self-Certification form.

本人/吾等聲明，本人有資格代表此自我聲明書首頁所標示之實體及第三部分所標示之控權人士(如有)簽署此自我聲明書。

**Acknowledgement and Consent regarding Personal Information Collection Statement 確認明白及同意個人資料收集聲明**  
**(please tick the box where applicable 若適用請在空格加"✓")**

☐ We acknowledge we have read, understand and agree with the content of the Personal Information Collection Statement of Guotai Junan Securities (Macau) Company Limited ("GTJA Macau"), which has been provided to us and is posted on GTJA Macau's website (www.gtjas.com.mo). We further agree to any revision or amendment that GTJA Macau may from time to time make in respect of any content of the Personal Information Collection Statement by notice to us. Where personal data or information relating to any of our representatives (including directors, employees, agents, customers (direct or indirect) or affiliates) or any third party is provided to or held by GTJA Macau in the course of our business dealings with GTJA, we undertake that we have obtained the consent of the relevant representatives/parties to enable GTJA Macau to use, process, deal, share or transfer such data or information for the purposes set out in the Personal Information Collection Statement and we further undertake to promptly provide evidence of such consents to GTJA Macau upon request from time to time. 吾等確認已閱讀、明白及同意國泰君安證券(澳門)一人有限公司(稱「國泰君安澳門」)之個人資料收集聲明之內容，該聲明已提供給吾等並在國泰君安澳門的網站(www.gtjas.com.mo)上發佈。吾等亦同意國泰君安可在通知吾等的情況下不時修改個人資料收集聲明之內容。如吾等在與國泰君安澳門進行業務交往過程中向國泰君安澳門提供或被國泰君安澳門持有吾等任何代表(包括董事、雇員、代理、客戶(直接或間接)或關聯方)或任何第三方的個人資料或資訊，吾等承諾吾等已經獲得相關代表或第三方的同意，准許國泰君安澳門按照個人資料收集聲明之目的使用、處理、處置、分享或轉移該等資料或資訊，吾等並且承諾在國泰君安澳門提出要求時及時向國泰君安澳門提供有關上述同意的證明。

☐ Where sensitive personal data or information relating to any of our representatives (including directors, employees, agents, customers (direct or indirect) or affiliates) or any third party is provided to or held by GTJA in the course of our business dealings with GTJA Macau, we undertake that we have obtained the consent of the relevant representatives/parties to enable GTJA to use, process, deal, share or transfer such sensitive data or information for the purposes set out in the Personal Information Collection Statement and we further undertake to promptly provide evidence of such consents to GTJA Macau upon request from time to time. 如吾等在與國泰君安進行業務交往過程中向國泰君安提供或被國泰君安持有吾等任何代表(包括董事、雇員、代理、客戶(直接或間接)或關聯方)或任何第三方的敏感個人資料或資訊，吾等承諾吾等已經獲得相關代表或第三方的同意，准許國泰君安澳門按照個人資料收集聲明之目的使用、處理、處置、分享或轉移該等敏感資料或資訊，吾等並且承諾在國泰君安澳門提出要求時及時向國泰君安提供有關上述同意的證明。

☐ Where personal data or information relating to any of our representatives (including directors, employees, agents, customers (direct or indirect) or affiliates) or any third party is provided to or held by GTJA Macau in the course of our business dealings with GTJA, we undertake that we have obtained the consent of the relevant representatives/parties to enable GTJA Macau to cross-border transfer such personal data for the purposes set out in the Personal Information Collection Statement and we further undertake to promptly provide evidence of such consents to GTJA Macau upon request from time to time. 如吾等在與國泰君安澳門進行業務交往過程中向國泰君安提供或被國泰君安澳門持有吾等任何代表(包括董事、雇員、代理、客戶(直接或間接)或關聯方)或任何第三方的個人資料或資訊，吾等承諾吾等已經獲得相關代表或第三方的同意，准許國泰君安澳門按照個人資料收集聲明之目的將該等資料或資訊跨境轉移，吾等並且承諾在國泰君安澳門提出要求時及時向國泰君安提供有關上述同意的證明。

I/We have carefully read and understood the English or Chinese contents of the latest version of the Client Agreement for ☐ Securities 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 ☐ 美國證券交易(獨立賬戶)服務最新版本的客戶協議書(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/吾等有能力和願意履行此協議規定的責任和義務。





SIGNED by Client 客戶簽署

\_\_\_\_\_  
Authorized Signatures(s) with Company chop

公司印章及授權簽名

\_\_\_\_\_  
Date 日期

\_\_\_\_\_  
Name of Authorized signatory(ies) (Please print)

被授權簽署人姓名 (請書寫)

SIGNED by Account Executive 經紀人員簽署

\_\_\_\_\_  
Name & Date 姓名及日期

**APPENDIX A – 附錄甲**  
**LIST OF INDUSTRIES NO. 1 - 40**  
**行業列表項目 1- 40**  
(updated in October 2025)

1. Accommodation and Travel Services 住宿及旅遊服務	2. Activities of Religious Organisation 宗教組織活動	3. Advertising and Market Research 廣告及市場研究
4. Arms, Defense, Military-related Entities 軍火、國防、軍事相關實體	5. Atomic Power-related Entities 原子能相關實體	6. Auction House/Pawnshop 拍賣行/當舖
7. Civil Engineering, Construction and Engineering, Architecture Engineering土木工程、建築與工程、建築工程及相關活動	8. Crop and Animal Production, Hunting and Related Service Activities 農作物及動物養殖、狩獵及相關服務活動	9. Dual Use Goods Trader/Manufacturer - Aerospace/Marine Products and Propulsion Systems/Lasers and Sensors 雙用途商品交易商/製造商 – 航空航太/海洋產品和推進系統
10. Embassies 大使館	11. Entertainment (e.g. Casino and Gambling-related Business, Bar, Disco, Night Club etc.) 娛樂場所（如賭場和賭博相關業務、酒吧、的士高、夜總會）	12. Financial Service Activities (including Banks, Broker and Dealers, Financial Holdings Company and Insurance and Pension Fund) 金融服務活動（含銀行、經紀商、金融控股公司保險和退休基金）
13. Food and Beverage Service Activities 餐飲服務活動	14. Healthcare and Veterinary Services 醫療保健及獸醫服務	15. Import and Export, Wholesale and Retail Trade (except High Value Items) 進出口貿易批發及零售業（除高價值物品外）
16. Information Technology Service Activities (e.g. the Provision of IT Services, Software Development and Consulting etc.) 資訊科技服務活動（如提供IT服務、軟件開發及諮詢等）	17. Legal and Accounting Activities 法律及會計活動	18. Licensed Non-Government Organization 經許可非政府組織
19. Manufacture of Daily Essentials/Household Goods (e.g. Food and Beverage, Textiles, Furniture, Electronic Equipment etc.) 民生用品的製造（如食品飲料、紡織品、傢俱、電子設備等）	20. Manufacture of Tobacco, Pharmaceuticals/Chemical/Metal Products or Transport Equipment 煙草製品/藥品/化學品/金屬製品/運輸設備的製造	21. Marijuana-related Entities 大麻相關實體
22. Mining, Extraction and Trading of Fossil Fuels, Precious Metal and Ores (e.g. Coal, Petroleum, Natural Gas, Precious Metals, and Ores etc.) 化石燃料、貴金屬與礦物的開採與貿易（如煤炭、石油、天然氣、貴金屬及礦物等）	23. Other Not Listed: Please state 其他未列出的行業：請說明	24. Personal Investment Company/Vehicle 個人投資公司/工具
25. Personal Service Activities (e.g. Laundry and Dry-cleaning Services, Beauty and Body Prettifying Treatment, Massage Services etc.) 個人服務活動（如洗滌及乾洗服務、美容及美體護理、按摩服務等）	26. Postal and Courier Activities 郵政及速遞活動	27. Public Services 公共服務

28. Purchasing Agent and Key Opinion Leader E-commerce 代購及網紅帶貨	29. Real Estate Activities 地產活動	30. Regulated Money Services Business (e.g. Money Exchange, Money Remitters, Check Cashers) 受監管的貨幣服務企業（例如：貨幣兌換、匯款或支票兌現）
31. Repair and Installation Services (e.g. Motor Vehicles, Motorcycles, Computers, Personal and Household Goods, Machinery and Equipment etc.) 維修及安裝服務（如汽車、電單車、電腦、個人及家庭用品、機械及設備等）	32. Scientific Research and Development 科學研究及發展	33. Security and Investigation Activities 保安及偵查活動
34. Shell Banks or Shell Financial Institutions 空殼銀行或空殼公司金融機構	35. Telecommunications 電訊	36. Transportation 運輸
37. Unlicensed Banks/Non-Bank Financial Institutions (including Unlicensed Money or Value Transfer Services/Money Services Businesses/Payment Service Providers) and Unlicensed and Unregulated Virtual Asset Exchange/Trading Platform Operators 無牌銀行/非銀行金融機構（包括無牌貨幣或價值轉移服務/貨幣服務企業/支付服務提供者）及無牌和非受監管虛擬資產交易所/平台營運者	38. Unregulated Charities 無監管慈善機構	39. Utilities 公用事業
40. Wholesale/Retail/Import/Export of High Value Items (e.g. Watches/Jewelry/Precious Metals, Art/Antique, Wine, Vehicles/Vessels/Aircraft etc.) 高價值物品進出口貿易/批發/零售（如鐘錶珠寶/貴金屬、藝術品/古董、酒類、汽車/船舶/飛機等）		

## 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"/> Properties 物業		<input type="checkbox"/> Securities 證券 <input type="checkbox"/> Others 其他: _____	
Value(HKD): 價值(港幣):			