



Update of Client's Information (Individual/ Joint Client)
客戶資料更新表格 (個人/聯名賬戶)

Account Type 賬戶類別	<input type="checkbox"/> Individual 個人賬戶 <input type="checkbox"/> Cash 現金賬戶 <input type="checkbox"/> Joint Account 聯名賬戶 <input type="checkbox"/> Margin 孖展賬戶
Account Name 賬戶名稱	
Account Number 賬戶號碼	
Name of Joint Account Holder 聯名賬戶持有人姓名 (For Joint Account only 只適用於聯名賬戶)	

- Please fill out those sections of the form which you have not provided before or if the relevant information which you previously provided to us has changed, that you have to inform us of the change(s). Also we shall assume there is no change of your relevant information which you have not provided in the form.
如閣下從未向本公司就此表格相關部份提供資料或有關資料已更改而需要通知本公司，請填妥此表格相關部份。
另外，如在表格上並未有提供資料，閣下的現有有關資料會被視為並無更改。
- You should undertake to promptly notify us if you become or cease to be employed by any SFC's licensed or registered person to carry on regulated activities as defined in the Ordinance.
閣下承諾如將受僱或不再受僱於任何受香港證券及期貨事務監察委員會監察之持牌法團或註冊機構，或將從事或不再從事條例界定的受規活動時，須立即通知本公司。
- Please note that when there is update of customer profile information for each holder of a Joint Account at the same time, each holder is required to submit this form separately.
請注意，如各聯名賬戶持有人之個人資料需同時更改，各持有人需個別提交此表格。
- Please note that the contact information of primary account holder would be treated as contact information of the Joint Account.
請注意，第一賬戶持有人之通訊信息將視作聯名賬戶之通訊信息。
- Please note update of any customer profile information will be applied to all of your accounts maintained with Guotai Junan Group.
請注意，客戶個人資料之更改將適用於閣下於國泰君安集團開立之所有賬戶。

(I) CHANGE OF CUSTOMER PROFILE INFORMATION 更改客戶個人資料 (Please tick the appropriate box 請勾選適當空格)

* Please delete as inappropriate 請刪去不適用者

<input type="checkbox"/> Change of Identity Document 更新身份證明文件
If you have updated any of your identity documents, please provide the certified true copy of new identity card/passport and the update Identity Document information (if any). 倘若已更新任何身份證明文件，請提供經簽名驗證的新身分證或護照複印本並填寫倘有新的證件訊息。
<input type="checkbox"/> Type of Identity Document 證件類別 _____ <input type="checkbox"/> No. 證件號碼 _____ <input type="checkbox"/> Place of Issue 證件發出地 _____

<input type="checkbox"/> Change of Correspondence Address 更改通訊地址
New Correspondence Address 新通訊地址
<input type="checkbox"/> Change of Residential Address 更改住宅地址
Please provide the original or copy of statements which was issued within the latest 1 year as address proof. 請提供最近1年內發出的結單正本或複印本作地址證明。
New Residential Address 新住宅地址



<input type="checkbox"/> Change of mailing method (please select either one) 更改通訊方式 (只選一項)	
<input type="checkbox"/> By E-mail Address 電郵地址	<input type="checkbox"/> By Company E-mail Address 公司電郵地址
<input type="checkbox"/> Update email address 更新電郵地址	
New Email address 新電郵地址	
<input type="checkbox"/> Subscribe / Unsubscribe* research reports sent by email 選擇 / 拒絕* 以電郵收取研究報告	

<input type="checkbox"/> Change of Telephone Number 更改電話號碼	
(Country Code) Mobile Phone No. (國家區號) 手提電話號碼	()
(Country Code) Home Tel. No. (國家區號) 住宅電話號碼	()
(Country Code) Office Tel. No. (國家區號) 辦公室電話號碼	()

<input type="checkbox"/> Change of OTP setting 更改“一次性驗證碼”設置	
Mobile Phone No. for OTP 獲取“一次性驗證碼”手提電話號碼	()

<input type="checkbox"/> Change of Nationality 更改國籍	New Nationality 新國籍:
Please provide the certified true copy of identity card / passport 請提供經簽名驗證的身份證或護照複印本。	

<input type="checkbox"/> Change of Other Customer Profile Information 更改其他客戶個人資料
Please Specify 請註明：

<input type="checkbox"/> Change of Tax Residency 更改稅務居民所在國家/司法管轄	New Tax Residency 新稅務居民所在國家/司法管轄:
請填寫及簽署通用報送標準 (CRS) 自證明及(或) 個人海外賬戶稅收合規法案聲明自行認證。 Please provide the Common Reporting Standards (CRS) Self-Certification Form and (or) Individual FATCA Self-Certification.	

<input type="checkbox"/> Change of Employment 更改就業情況	
<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Unemployed 無業 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Student 學生	
(Please refer Appendix for List of Industries 行業列表請參考附錄)	
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 僱主/自僱機構名稱	
Position 職位	
Office Address 辦公室地址	
Company Email Address (Optional) 公司電郵地址(可選填)	
<input type="checkbox"/> Change of Financial Profile 更改財務狀況	
Annual Income (HK\$) 全年收入(港幣)	<input type="checkbox"/> ≤ \$250,000 <input type="checkbox"/> \$250,001-\$500,000 <input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> \$1,000,001-\$5,000,000 <input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> >\$10,000,000 please specify 須註明:_____
Net Worth (HK\$) 淨資產(港幣)	<input type="checkbox"/> ≤ \$500,000 <input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> \$1,000,001-\$5,000,000 <input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> \$10,000,001-\$50,000,000 <input type="checkbox"/> \$50,000,001-\$100,000,000 <input type="checkbox"/> >\$100,000,000 please specify 須註明:_____



Source of Funds 資金來源	<input type="checkbox"/> Salary/Business Income 薪俸/營業收入 <input type="checkbox"/> Return on Investments 投資回報	<input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Others :其他 _____
Source of Wealth 財富來源	<input type="checkbox"/> Salary/Business Income 薪俸/營業收入 <input type="checkbox"/> Sale of Investments 投資回報 <input type="checkbox"/> Retirement Funds 退休金 <input type="checkbox"/> Others : 其 他 : _____	<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

☐ **Update of Investor Status 更新投資者身分**

Are you a professional Investor? 您是否為專業投資者？

- ☐ Yes 是 (If yes, please complete and return the professional investor declaration form. 如果是，請填寫並交回專業投資者聲明書)
☐ No 不是

☐ **Other Disclosures 其他資料披露**

Are you the employee of a SFC's licensed or registered person?

您是否香港證券及期貨事務監察委員會持牌或註冊人的僱員？

- ☐ No 不是 ☐ 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

- ☐ No不是 ☐ 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國泰君安集團的公司？

- ☐ No 沒有 ☐ Yes 有 (If yes, please specify Name & Relationship 如有，請述明姓名及關係:_____)

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？

- ☐ No不是 ☐ Yes是 (If yes, please specify 如果是，請述明具體:_____)



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?*

☐ No不是 ☐ Yes是 (If yes, please specify如果是, 請述明具體:

Name of PEP 政治人物姓名	Relationship to PEP 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 Macau (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澳門或澳門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)

Are you the ultimate beneficial owner ("UBO") of this Account / person ultimately benefiting from the transactions and bearing the risk?

你是否此賬戶的最終實益擁有人/最終受益於交易及承擔風險人士/最終負責發出指示的人士?

☐ Yes 是 ☐ No 不是 (If no, full KYC information and Identity documents of 3rd party are required. 如果不是, 需提供第3方之詳細資料及身份證明文件。)

Are you the person ultimately responsible for originating instructions for the account?

你是否向戶口最終負責發出指示的人士?

☐ Yes 是 ☐ No 不是 (If no, full KYC information and Identity documents of 3rd party are required. 如果不是, 需提供第3方之詳細資料及身份證明文件。)

Is your spouse currently maintaining Account with the companies of Guotai Junan Group?

您的配偶是否在國泰君安集團的公司開有賬戶?

☐ No 沒有 ☐ Yes 有 (If yes, please specify如有, 請述明賬號: _____)

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國泰君安集團的公司客戶35%以上的股權?

☐ No 沒有 ☐ Yes 有 (If yes, please specify如有, 請述明賬號: _____)

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

1. ☐ I have attended courses or seminars on derivative product(s)

我曾接受有關衍生產品的培訓或相關課程

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

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

☐ Other courses or seminars 其他培訓或課程

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

Name of organized institution 舉辦機構名稱: _____

Attendance Date 出席日期: _____



2.	<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

(II) CHANGE OF TRADING INFORMATION 更改交易資料 (Please tick the appropriate box 請勾選適當空格)

Please delete as inappropriate 請刪去不適用者

Internet Trading Function 網上交易服務: <input type="checkbox"/> Request 開通 <input type="checkbox"/> Cancel 取消 Register of Mobile Phone No. for OTP is required for Internet Trading Function 如增加網上交易服務, 必需登記手提電話號碼以獲取 "一次性驗證碼"	
<input type="checkbox"/> Add first / Cancel / Change of * Personal Identification Number ("PIN") 首增 / 取消 / 更改* 私人密碼 ("PIN")	

<input type="checkbox"/> Request/ Cancel* Non-HK Market Trading Function 開通 / 取消* 香港以外的其他交易市場	
<input type="checkbox"/> Australian shares 澳洲股票	<input type="checkbox"/> B shares 中國 B 股
<input type="checkbox"/> Bonds 債券	<input type="checkbox"/> Canadian shares 加拿大股票 ^(a)
<input type="checkbox"/> French shares 法國股票	<input type="checkbox"/> Funds 基金
<input type="checkbox"/> German shares 德國股票	<input type="checkbox"/> Japanese shares 日本股票
<input type="checkbox"/> Korean shares 韓國股票	<input type="checkbox"/> Malaysian shares 馬來西亞股票
<input type="checkbox"/> Singaporean shares 新加坡股票	<input type="checkbox"/> Taiwanese shares 台灣股票
<input type="checkbox"/> UK shares 英國股票	<input type="checkbox"/> US futures ^(b) 美國期貨
<input type="checkbox"/> US shares ^(b) 美國股票	<input type="checkbox"/> Swiss shares 瑞士股票
<input type="checkbox"/> Shenzhen-Hong Kong Stock Connect 深港通 <small>(Not Applicable to Mainland Investors 不適用於國內投資者)</small>	<input type="checkbox"/> Shanghai-Hong Kong Stock Connect 滬港通 <small>(Not Applicable to Mainland Investors 不適用於國內投資者)</small>
<input type="checkbox"/> Structured product 結構性產品	

Please complete and return (a) Canadian Market Data Agreement and NR Form or (b) W-8BEN/ W-8BEN-E/W9/W8-IMY.
 請填寫並交回表格 (a) 加拿大市場數據協議書及 NR Form 或 (b) W-8BEN/W-8BEN-E/W9/W8-IMY

<input type="checkbox"/> Change of other information 更改其他資料:
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Personal Data 個人資料收集聲明

I/We acknowledge I/we have read and understand the content of the Personal Information Collection Statement of GUOTAI JUNAN SECURITIES (MACAU) COMPANY LIMITED ("GTJA Macau"), which has been provided to me/us and is posted on GTJA' s website (www.gtjas.com.mo). By ticking the box below, I/we signify my/our consent for GTJA Macau 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 Macau 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國泰君安證券(澳門)一人有限公司(國泰君安澳門)之個人資料收集聲明之內容,該聲明已提供給本人/吾等並在國泰君安的網站(www.gtjas.com.mo)上發佈。在下列方格加上剔號,表示本人/吾等同意國泰君安澳門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/吾等亦同意國泰君安澳門可在通知本人/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 Macau' 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 Macau may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us. 本人/吾等同意國泰君安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/吾等亦同意國泰君安可在通知本人/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 Macau' 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 Macau may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us. 本人/吾等同意國泰君安澳門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/吾等亦同意國泰君安澳門可在通知本人/吾等的情况下不時修改個人資料收集聲明之內容。
- ☐ I/we expressly agree and acknowledge that GTJA Macau' s may transfer or disclose any information relating to me/us to group member of GTAJ, subsidiaries, representative offices, affiliates, agents and any third parties for confidential use in or outside Macau. Such transfer may constitute an international transfer in the event that the location of the recipient is outside Macau and the applicable privacy policy and protections of the jurisdiction where the recipient is located may be different from Macau. I/we also consent that GTAJ Macau may transfer or disclose such information to any person, at the request of legal, regulatory, governmental, tax, law enforcement or other authorities, securities or futures exchange, central bank, or self-regulatory or industry bodies or associations (Authorities), in accordance with any law in or outside Macau. I/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 me/us. 本人/吾等明確同意國泰君安澳門按照個人資料收集聲明之目的將本人/吾等個人資料轉移及披露予國泰君安之集團成員、附屬公司、代表辦事處、附屬成員、代理人及上述各方所挑選的任何第三方,不論在澳門境內或澳門境外,以作出保密的用途,且本人/吾等知悉資料接收方所處司法管轄區所適用的私隱政策及個人資料的保障可能有別於澳門。本人/吾等進一步同意國泰君安澳門可按澳門或境外之任何法律,應澳門或任何澳門境外之司法、監督、政府、稅務、執法機構、證券或期貨交易所、中央銀行、或行業團體或組織(“權力機構”)之要求將任何該等資料轉讓及披露予任何人士。本人/吾等亦同意國泰君安澳門可在通知本人/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 Macau 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/吾等反對國泰君安澳門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 Macau 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/吾等反對國泰君安澳門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,向國泰君安集團(不包括國泰君安本公司)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.

以上內容代表本人/吾等目前對於是否接收直接促銷聯絡或資訊的選項。這將取代本人/吾等先前給予國泰君安澳門的任何選項。

Declaration & Signature 聲明及簽署

- ☐ I/We hereby declare that the information given in this form is true and correct and that I/we have not willfully withheld any material fact(s). 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, and I/we further confirm that this form is completed by me/us for the purpose of complying with the Anti-Money Laundering (AML) and Combating the Financing Terrorism (CFT) Guideline regarding customer due diligence and ongoing review of customer information. 本人/吾等謹此聲明表格上提供之所有資料均為真實及正確,本人/吾等並未刻意隱瞞任何重要事實。除上述提供的資料外,本人/吾等清楚貴司會要求本人/吾等提供更多相關的資料或證明文件,且本人/吾等進一步確認認為遵守《反洗錢及反恐融資指引》關於客戶盡職調查及客戶資料之持續覆查等目的而填寫本表格。

Client Signature 客戶簽署

Date 日期



For GTJA Use Only	Signature Verified	Inputted	Reviewed
Signature:			
Date:			

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



APPENDIX B 附錄乙

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):			