



國泰君安証券股份有限公司
Guotai Junan Securities Co., Ltd.

(A joint stock company incorporated in the People's Republic of China with limited liability)
(Stock Code: 02611)

List of Directors and Their Roles and Functions

The members of the board of directors (the “**Board**”) of Guotai Junan Securities Co., Ltd. (the “**Company**”) are set out below:

Executive Directors

Mr. Yang Dehong (*Chairman*)
Mr. Wang Song
Mr. Yu Jian

Non-executive Directors

Mr. Fu Fan
Ms. Liu Ying
Mr. Zhong Maojun
Mr. Zhou Lei
Mr. Wang Yongjian
Mr. Lin Facheng
Mr. Zhou Hao

Independent Non-executive Directors

Mr. Xia Dawei
Mr. Shi Derong
Mr. Chen Guogang
Mr. Ling Tao
Mr. Jin Qingjun
Mr. Lee Conway Kong Wai

There are four Board committees. The table below provides membership information of these committees on which each Board member serves:

Board Committee Directors	Strategy Committee	Risk Control Committee	Audit Committee	Remuneration Appraisal and Nomination Committee
Mr. Yang Dehong	Chairman			
Mr. Wang Song		Member		
Mr. Fu Fan	Member	Chairman		
Mr. Zhong Maojun		Member		
Mr. Zhou Lei			Member	
Mr. Wang Yongjian	Member			Member
Mr. Xia Dawei			Member	Chairman
Mr. Chen Guogang			Chairman	Member
Mr. Ling Tao	Member	Member		
Mr. Jin Qingjun			Member	Member

Shanghai, the PRC

13 June 2018