



CMB International Securities Limited (“CMBIS”)

账号 !ÄÄÏÖÎÔ . İđ	户口生效日 %ĒĒÄÖÖÄ \$ÄÖÄđ	客户主任 . Ä Í Ä İf !%đ
-----------------	----------------------	---------------------

客户资料表格(个人帐户) Client Information Form (Individual)

请在签署本表格前仔细阅读现金/保证金客户协议书及相关的文档

Please read carefully before signing this form of cash/margin client agreement and related documents

注意：本客户资料表需附上：p. 有效身份证明文件（如：身份证、护照或通行证副本）

ζ. 住宅地址证明 (如: σ 个月内的水电费单、银行结单)。

. İÖÅd ÔÈÉÓ ÔÁÂİÀ İĖ ÂİĖÂİt ÄÁÔÁ Í ÖÖt ÓÖÂ Í Éôd

ρ. 6ΑΙΕΑ ΔΟΙΙΕ ΙΕ ΕΑΑΙΤΟΕΟΥ ;ΟΟΑη ΑΟ Α)ΑΑΙΤΟΕΟΥ #ΑΟΑ, ΟΑΟΟΔΙΟτ ΙΟ 4ΟΑΟΑΙ ΟΑΟΟ ΑΙΔΥΟ

с8 00ÏÏE ÏE ÒÁÓÉÄÄÎÔÉÁÌ ÁÄÄÒÁÓÓ ;ÅÓÁ Í ÐÌÄd ÔÕÈÌÉÔÙ ÂÈÌ É Î ÌÁÓт σ Í Î ÎÔÈÒ, ÂÄÎË ÓÓÁÔÁ Í ÄÎÔq8

1. 帐户类别 Account Type (可以同时开立现金及保证金账号)

☐ 现金帐户#A0E !AAIOIO	☐ 保证金帐户 - AOCFI !AAIOIO	☐ 投资移民现金帐户#)%3 !AAIOIO
您是否需要开通港股以外的其他证券交易？ ☐ 否。 ☐ 是，请申明：		
☐ 上海 B 股 ☐ 深圳 B 股 ☐ 沪港通 ☐ 美国股票 ☐ 基金、债券及场外衍生产品		
\$ I UTO IAAA OI IDen OAAOODEAO OAAAEIC AAAIOIO IOEAO Ohan OAAAEIC (IIC + IIC OOIAEOE ☐ No. ☐ Yes, please OOAOAQ		
☐ Shanghai B/3EAOAO	☐ Shenzhen B-Share	☐ Shanghai – Hong Kong 3OIAE AIIIAAO ☐ United States Stocks **如开立美股功能, 请同时填写<<W8ben>> 及<<美国股票网上电子交易服务申请/终止表>>表格
☐ Funds, Bonds and Over-the-Counter Derivatives		**如开立基金、债券及场外衍生产品功能, 请同时填写<<投资风险取向分析问卷>>, << 基金投资

2. 个人资料 Personal Information

☐ Mr. 先生 ☐ Miss. 小姐 ☐ Mrs. 夫人	中文姓名 . Á í Ä Ê Î Ñ È Ì Å Ö À :	身份证明文件类别 Identity document types : ☐ 身份证 ID card ☐ 护照 Passport ☐ 其他Others (请注明Please specify) :	
		身份证号码 ID No :	
	英文姓名 . Á í Ä Ê Î Ñ %Î Ç Ò È Ë :	护照号码 Passport No :	
	出生日期 \$ÁÖÄ Ý Æ Ö Ö È :	签发地)ÓÓÖÊÎÇ ÄÏÖÍÒÙ :	
	出生地点 OÌÁÁÄ Ý Æ Ö Ö È :	国籍 . ÁÖÊÝÍÄÛÈÙ :	
教育程度 %ÅÖÄÄÖÊÝÍ ÌÄÖÀì : ☐ 小学 ØØÊ Í ÁÖÙ ☐ 中学 3ÄÄÝÍÄÄÖý ☐ 大专 ØÍÖÓZÖÄÝÍÄÄÖù ☐ 大学或以上 \$ÄÇÖÄÄ ÈÝÌÄÖ ÕÖ ÄÄÝÖÄ			
☐ 我确认不是美国公民或就税务目的而言的居民)ÄÝÍÆÖm ÔÊÄt) Ám ÍÝt Á 5\$3. ÆÖÖÉÜÄÍ ÜÖ Á 5\$3. ÓÄØ ÖÄÖÉÄÄÏÖ			
住宅地址 2ÄÖÉÄÄÏÖÄì ÁÄÄÖÄÖÓ :			
办公室地址 "ÖÖÊÍÄss ÁÄÄÖÄÖÓ :			
电子邮箱 %Z Í ÄÊ Ì ÁÄÄÖÄÖÓ :		手提电话 - ÝÄÊÌÄ :	
住宅电话 4ÄÌ. . Ýð :	办公室电话 4ÄÌ. . Ý.j /ÆÊÄÄÄQ :	办公室传真 &Äx . Ýð j /ÆÊÄÄÄQ :	
邮寄方式 j仅选其一，所有通讯包括客户结算单将寄往Q: ☐ EmÄÊ Ì ÁÄÄÖÄÖÓ 电子邮箱j推荐Q ☐ 2ÄÖÉÄÄÏÖÄì ÁÄÄÖÄÖÓ 住宅地址 ☐ "ÖÖÊÍÄss ÁÄÄÖÄÖÓ 办公室地址 ☐ Others 其它 :			
"Ü Í ÄÊ jÄì ÄÝ Í Í ÖÍÊÄÄÖÊÝÍÖ, ÊÌÄÏÖÄÊÍÇ ÄÊÄÏt ÖÖÄÖÄ Í ÄÍÖÖ ×Êì ÄÄ ÖÄÏt, ÆÈÝÝÖÄ ÝÍÄ ÝÍÜÜqð 如选以电子邮箱收件, 请在后部δ(客户同意书-电子通讯Qö部份选同意 ÊÖ ÖÄÌÄÄt ÄÜ %Z Í ÄÊ Ì, ÐÌÄÄÖÄ ÖÄÌÄÖ ÄÇÖÄÄ on #ÛÊÄÍÖÖ #ÝÍÖÄÏÖ j%ÌÄÄÖÖÍÊÄ #Ý Í Í ÖÍÊÄÄÖÊÝÍÖ			

(可以填写境外任何一间银行卡号, 如汇丰银行, 中银; 如没有境外银行卡号, 请填写国内招行一卡通号)

香港银行数据记录 (只用于客户本人同名的香港银行帐户存款) Hong Kong banking Accounts (bank accounts under client name)

银行名称 Name of Bank / 户口号码 Account No. 1 : _____ / _____

银行名称 Name of Bank / 户口号码 Account No. 2: _____ / _____

财富来源: Sources of fund

☐ 薪酬 Salary ☐ 自营公司收入 Company Revenue ☐ 租金 Rental ☐ 储蓄 Saving ☐ 退休金 Pension

☐ 其他 (请注明) Others (Please specify): _____

3. 电子服务申请 Application for Electronic Service

您是否需要开通网上交易服务? Do you need online trading service?

 港股 Hong Kong stocks: ☐ 是 Yes. ☐ 否 No.

 美股 US stocks: (如申请, 需另填写“美股网上交易申请”表格. If Yes, please fill in US Stock Electronic Online Trading Services Application Form)

(帐户号码及密码, 可选择以下一种方式收取) (Client account code and password receiving method, please choose one only)

☐ 电邮地址 E-mail address : _____

☐ 邮寄地址 Mailing address : _____

 您是否需要开通银证转账服务 Do you require internet trading services? ☐ No 否 ☐ Yes 是,

指定转账银行帐户数据 Information of Designed Transfer Banking Account :

招商银行香港分行 China Merchants Bank Hong Kong Branch 银行账号号码 Account Number _____

4. 财务资料摘要 Financial Information

公司名称 Name of Company :	行业 Occupation :	职位 Position :	服务年数 Years of service :
------------------------	-----------------	---------------	-------------------------

 每年总收入 Annual income : ☐ below \$200,000 或以下 ☐ \$200,001 to 至 \$500,000

☐ \$500,001 to 至 \$1,000,000 ☐ \$1,000,001 or above 或更多

资产净值 Total Asset : _____

住屋 Residential Status :

☐ 自置物业 Owned Property ☐ 按揭物业 Mortgaged ☐ 租用物业 Rented ☐ 宿舍 Quarters ☐ 其它 Others: _____

5. 投资经验及目的 Investment Experience and Objective

投资经验 Investment Experience : ☐ 没有 Nil ☐ 有 Yes, 年资 Years of Experience _____

投资种类 Investment Category : ☐ 股票 Stock ☐ 基金 Funds ☐ 固定收益 (含债券) Fix Income Product (Bonds included)

☐ 衍生产品 Derivatives Product ☐ 其它 Others _____

投资目的 Investment Objective : ☐ 资本增值 Capital gains ☐ 股息回报 Dividends-returns ☐ 对冲 Hedging ☐ 投机 Speculation

☐ 其它 Others _____

6. 帐户最终权益拥有人身份 Ultimate Beneficial Owner

☐ 本人聲明本帳戶的最终受益人为本人。I confirm that I am the ultimate beneficial owners of this Account.



招銀国际
CMB INTERNATIONAL

招商銀行全資附屬機構
A Wholly Owned Subsidiary Of China Merchants Bank

7. 就此帐户进行交易的最终负责发出指示人士的身份 (若与帐户最终权益拥有人相同, 则不用填写此栏)

Please provide details of the person ultimately responsible for giving instructions for the Account if they are different from the above information (please ignore this column, if same as the account holder)

姓名 Name : _____ 身份证/护照/签发地 ID/ Passport/ Issuing country : _____/_____
电话 Tel No. : _____ 地址 Address : _____

“如填写此栏, 需另外填写“[《授权第三者操作帐户授权书》](#)”表格, 而且要提供被授权人的身份证明文件。

Please complete the following form and provide the identity documents of the authorized person

8. 相关身份披露 Disclosure of Identity

i) 您的配偶是否招银证券的保证金客户? (保证金客户填写)

Does the spouse of the Client have a margin account with CMBI? (For Margin Client only)

☐ 不是 No ☐ 是 Yes 帐户名称 Account Name : _____ 证券账号 Account No. : _____

ii) 您个人或与您配偶共同控制招银证券的其它保证金客户 35%或以上投票权? (保证金客户填写)

The Client, either alone or with his/her spouse, is/are not in control of 35% or more of the voting rights of another margin client of CMBI?

(For Margin Client only)

☐ 不是 No ☐ 是 Yes 帐户名称 Account Name : _____ 证券账号 Account No. : _____

iii) 您帐户的最终权益拥有人及/或就此帐户进行交易的最终负责人士, 是否是香港证监会的持牌或注册人士, 或任何持牌法团或注册机构的董事或职员? Is Client a director or an employee of a person registered or licensed with HK Securities and Futures Commission?

☐ 不是 No ☐ 是 Yes, 持牌或注册人名称/中央编号 Name/CE No. : _____/_____

iv) 您是否招商银行的雇员 Are you an employee of China Merchants Bank?

☐ 不是 No ☐ 是 Yes

v) 您是否招银国际集团的雇员 Are you an employee of CMBI Group?

☐ 不是 No ☐ 是 Yes

vi) 您是否招银国际集团雇员的亲属 Are you related to any employee of CMBI Group?

☐ 不是 No ☐ 是 Yes, Name and relation 員工姓名及关系 _____

9. 见证人 Witness (见证人员填写)

见证人的见证 Witness: 本人已见证及验证上述客户之签署及有关其身份证明文件之正本

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

见证人签署 Witness Signature : _____ X 日期 Date : _____

见证人姓名 Name of Witness : _____ 见证人职业 Occupation : _____

见证人地址 Address : _____



招銀國際
CMB INTERNATIONAL

招商銀行全資附屬機構
A Wholly Owned Subsidiary Of China Merchants Bank

10. 客户同意书(电子通讯) Client's Consent (Electronic Communication)

本人/吾等，同意贵公司通过电子通讯向本人/吾等以本人/吾等于下列所指定之电子邮箱地址寄发成交单据，交易确认文件及其它通讯（该等通讯）。I/We hereby consent to the Company providing all notices, statements, trade confirmations and other communications by the Company to me/us through electronic communication and I/We hereby request instruct and authorize the Company to transmit, release and send all notices, statements, contract notes, trade confirmations and other communications (the "Communications") to me/us at my/our designated e-mail address as specified below.

本人/吾等指定电子邮箱地址 **My/our Designated E-mail Address** : _____

本人/吾等确认及接受通过电子通讯的风险，包括但不限于载于现金/保证金客户协议中所列的风险，并同意及承诺免除贵公司因贵公司通过电子服务提供该等通讯而令本人/吾等产生、蒙受及/或承受的一切亏损、损失、利息、费用、开支、法律诉讼、付款要、索偿等等的责任。本人/吾等明白本人/吾等只可从邮寄账单或电子通讯选择其一，一经选用电子通讯，本人/吾等将不会收到邮件形式寄发之成交单及月结单。于本人/吾等选用电子通讯期间，本人/吾等将第一时间通知贵公司有关本人/吾等电子邮箱地址的变更。假若贵公司寄发电子账单后连续两次收到错误之通讯，贵公司可选择以邮寄形式取代电子通讯。如本同意书中、英文本之解释或意思有不相关，客户同意以英文本为准。 贵公司已向本人/吾等解释本同意书，本人/吾等声明本人/吾等完全明白同意书之内容。I/We, acknowledge and accept the risks of receiving the Communications via electronic communications, including but not limited to the risks as set out in the Cash / Margin Client Agreement and agree and undertake to hold the Company harmless from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which I/We may incur, suffer and/or sustain as a result of the Company's provision of Communications via electronic communication. I/We understand I/We can only choose either receiving the Account statement via physical mail or via electronic communication. Once choosing electronic communication service, I/We will not receive and physical Account statement by mail I/We undertake to notify the Company of any change in my/our email address. If the Company got two successive messages in relation to failure of sending the statement to my/our email address electronically, the Company has the right to send the statement to me/us via physical mail instead. In the event of any difference in interpretation or meaning between the English and Chinese version of this Consent, the Client agrees that the English version shall prevail.

11. 声明 Disclaimer

本人在此确认在客户数据表格所提供的信息全部为真实、完整和正确，以及附上的协议中的陈述均属准确。除非招银国际接到更改有关本数据表格内容的书面通知，否则招银国际可完全依赖这些资料及陈述做一切用途。客户授权招银国际可随时联络任何人包括客户的银行、经纪或任何信贷机构等，核实本数据表内的资料及陈述。I/We confirm and represent that the information on this Client Information Form is true, complete and correct and that the representations in the attached agreement are accurate. CMB International Securities Limited (The Company) is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. The Company is authorized at any time to contact anyone, including client's banks, brokers or any credit agency, for the purpose of verifying the information provided on this Client Information Form.

根据 FATCA 或相关当地法律，本人同意向招银国际汇报我的个人资料到美国或适用的当地监管机构或税务机关，并在必要时为符合 FATCA 或适用的当地法律。Pursuant to FATCA or applicable local laws, I hereby consent to the Company to report my personal data to the U.S. or applicable local regulators or tax authorities where necessary in order to comply with FATCA or applicable local laws.

本人/吾等为下述签署客户，已阅读过、明白及接受贵公司附上的客户协议书（该协议书）（内含风险披露声明）及个人资料收集声明书，并已获展示客户协议书内中英文本的风险披露声明及获以下职员按照本人/吾等所选择的语言解释明白；及已获邀阅读该风险披露声明、提出问题及征求独立的意见（如本人/吾等有此意愿）。（该客户签署式样将被用作核证任何就帐户运作之书面指示）I/We, the undersigned Client, acknowledge and confirm that I/We have read and understood and accepted the provisions of the Client Account Agreement, including (inter alia) the Risk Disclosure Statement and Personal Data Protection Statement. I/We have been referred to the Risk Disclosure Statement in the Client Account Agreement in both English and Chinese and have been explained by a staff named below in a language of my/our choice and that I am /We are invited to read the Risk Disclosure Statement, ask questions and take independent advice if I/We wish.

X 陈大文

客户签名 Signature

客户姓名 Name

日期 Date

12 職員/持牌代表的声明 Declaration By Staff/ Licensed Representative (香港招銀國際持牌人員填寫)

本人確認已按照客戶所選擇的語言提供及解釋上述之風險披露聲明；及邀請客戶閱讀上述風險披露聲明、提出問題及尋求獨立的意見(如客戶有此意願) I confirm that I have provided the Risk Disclosure Statements in the language of the client's choice (English or Chinese) and that I have invited the client to read the Risk Disclosure Statements, to ask questions and advice to take independent advice if the customer wishes.

職員/持牌代表名稱 Name of Staff/ Licensed Representative : _____

中央編號 CE. No : _____ 職員/持牌代表簽署 Signature : _____ X 日期 Date : _____

13. 招銀證券接納及授權代表簽署

授權簽署/公司印章

賬號類別： ☐ 保管(CUST) ☐ 保證金 (MRGN) ☐ 投資移民 (CIES)

證券賬號：

經紀號碼：

佣金率 (電話/網上)：

開通服務： ☐ 網上交易密碼 ☐ 網上交易報價 ☐ 銀證轉賬 ☐ 美股網上交易

檢查文件及資料輸入/日期：

資料复核/日期：

密碼/日期：

備注：



招銀国际
CMB INTERNATIONAL

招商銀行全資附屬機構
A Wholly Owned Subsidiary Of China Merchants Bank

(内部专用)

介绍人资料

☐ 行外 介绍人姓名：_____ 联系电话：_____ 备注：_____

☐ 行内 介绍人(姓名/核心系统号) _____/_____ 业务条线: (四选一) 零售 P / 公司 C
_____ 国际 I / 其他 O

分行（分行名称_____/分行号_____） 网点（网点名称_____/网点号_____）

若为行内客户请提供客户招行银行卡数据：一卡通_____ 客户经理确认签名_____

客户主任

i) 佣金: ☐ 标准 ☐ 招行员工 ☐ 职员 ☐ 其他 (请注明) _____ 电话 _____ 网上 (审批签署: _____)

ii) 文件复核

所需文件	请在空格内 ✓
1) 完整及签妥的客户资料表格	☐
2) 身份证明文件 (经核实副本) (如经认证人认证客户, 须提供两份不同类别的身份证明文件)	☐
3) 地址证明 (经核实副本)	☐

签署: _____

Use for FATCA Compliance 美国「外国帐户税收遵从法」

☐ Opt to be recalcitrant

☐ Situation resolved

原因: _____

原因: _____

检查文件及资料输入/日期: _____

检查文件及资料输入/日期: _____

资料复核/日期: _____

资料复核/日期: _____

Remark:

1. U.S. citizen includes an individual who is born in the U.S. territory or possession of the U.S. (i.e., American Samoa, Guam, the Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands), while a U.S. tax resident refers to U.S. Green Card holder (i.e. holder of U.S. Permanent Resident card) or individual who meets the substantial presence test (i.e. he/she has been present in the U.S. for at least 31 actual days in the current tax year and 183 equivalent days during a three year period)
美国公民, 包括出生在美国领土或属地, 美国 (即美属萨摩亚, 关岛, 北马里亚纳群岛, 波多黎各和美国维京群岛), 而美国税务居民是指美国个人绿卡持有人 (美国永久居民卡, 即持有人) 或个人满足实际天数测试 (即他/她已经在三年至少 31 天实际的纳税年度和相当于 183 天身在美国)
2. Clients should seek for their own tax advisors regarding the substantial presence test if necessary.
客户应寻求适合自己的税务顾问以进行有关的实际天数测试