招銀國際證券有限公司
香港中環花園道 3 號
冠君大廈 45 樓

CMB International Securities Limited
45/F, Champion Tower,
3 Garden Road,
Central, Hong Kong

電話 Tel.: (852) 3761-8811 / 傳真 Fax: (852) 3761-8788

CMB International Securities Limited

招銀國際證券有限公司

Account Opening Agreement-Individual

開戶協議-個人

This agreement is made up of the following documents, the Cash Client's Agreement/Margin Client's Agreement, Risk Disclosure Statement, Personal Data Protection Statement as attached hereto and other related documents, shall be valid/effective after completion and signature by the Client(s). 本開戶協議由如下文件及隨附的現金客戶協議書/保証金客戶協議書、風險披露聲明、個人資料保障聲明及其他相關文件組成，供客戶填寫及合併簽署後生效。

1. ACCOUNT INFORMATION
   帳戶資料
2. CLIENT INVESTMENT RISK PROFILE QUESTIONNAIRE- INDIVIDUAL
   客戶投資風險取向分析問卷-個人
3. DERIVATIVES KNOWLEDGE ASSESSMENT
   衍生工具知識評估
4. COMMON REPORTING STANDARD (CRS) - SELF DECLARATION FORM-INDIVIDUAL
   共同彙報準則- 自我證明表格 – 個人
5. ACKNOWLEDGEMENT BY CLIENT
   客戶聲明
6. APPOINTMENT OF PROCESS AGENT (If Applicable)
   法律文件接收人委任書（如適用）

CMB International Securities Limited ("CMBIS")
招銀國際證券有限公司("招銀證券")

Account No. 帳號：	Account Effective Date 帳戶生效日：	Name of AE 客戶經理：

Please read the Appendices, the attached Cash Client's Agreement / Margin Client's Agreement and related documents and terms before you sign this form 請在簽署本表格前仔細閱讀附件、隨附的現金客戶協議書／保證金客戶協議書及相關的文件及條款

☐ **Application of Professional Investor-Individual 申請成為專業投資者-個人**
(Please complete [Application for Treatment as "Professional Investor"-Individual] 請填寫〔專業投資者（個人）申請書)）

Part 1-Account Information
第一部份、帳戶資料

1. Account Type 帳戶類別

☐ Cash Account 現金帳戶	☐ Margin Account 保證金帳戶	☐ CIES Account 投資移民帳戶

2. Identity of Client 客戶身份

☐ Individual Account 個人帳戶	☐ Joint Account 聯名帳戶

3. Securities Service 證券服務

Hong Kong Stocks 港股 and 及	☐ Shanghai-Hong Kong Stock Connect 滬港通	☐ Shenzhen-Hong Kong Stock Connect 深港通
☐ US Stocks 美國股票	☐ Shanghai B-shares 上海 B 股	☐ Shenzhen B-shares 深圳 B 股
☐ German Stocks 德國股票	☐ Swedish Stocks 瑞典股票	
☐ Bonds, Funds and Others Over-the-counter Derivatives 債券、基金及其他場外衍生產品		

4. Client Information 客戶資料

	Account Holder (A) 帳戶持有人(A)	Account Holder (B) 帳戶持有人(B)
	☐ Mr 先生 ☐ Miss 小姐 ☐ Mrs 夫人	☐ Mr 先生 ☐ Miss 小姐 ☐ Mrs 夫人
Name in English 英文姓名		
Name in Chinese 中文姓名		
Identity Document Types 身份證明文件類別	☐ ID card 身份證 ☐ Passport 護照 ☐ Others 其他：________________	☐ ID card 身份證 ☐ Passport 護照 ☐ Others 其他：________________
ID/ Passport No 身份證明文件號碼		
Place of Issue 簽發地		
Date of Birth 出生日期 (dd/mm/yyyy)		
Place of Birth 出生地點		
Nationality 國籍		
Education Level 教育程度	☐ Primary or below 小學或以下 ☐ Secondary or post-secondary 中學或專上學院 ☐ University or above/professional qualifications (not related to Economics/Finance) 大學或以上/專業資格（非財經學科相關） ☐ University or above/professional qualifications (related to Economics/Finance) 大學或以上/專業資格（跟財經學科相關）	☐ Primary or below 小學或以下 ☐ Secondary or post-secondary 中學或專上學院 ☐ University or above/professional qualifications (not related to Economics/Finance) 大學或以上/專業資格（非財經學科相關） ☐ University or above/professional qualifications (related to Economics/Finance) 大學或以上/專業資格（跟財經學科相關）
Purpose of Account Opening 開戶目的	☐ Investment 投資 ☐ Others, please specify 其他，請注明:	
Are you a U.S. citizen or a U.S. tax resident? 您是否美國公民或就稅務目的而言的居民?	☐ Yes 是 ☐ No 否	☐ Yes 是 ☐ No 否

	Account Holder (A) 帳戶持有人(A)	Account Holder (B) 帳戶持有人(B)
Residential Address 住宅地址		☐ Same as Account holder (A) 與戶口持有人(A)相同 ☐ Other Address, please state 其他地址，請注明
Correspondence Address 通訊位址 (Please provide if different from the residential address 如與住宅地址不同，請提供)		☐ Same as Account holder (A) 與戶口持有人(A)相同 ☐ Other Address, please state 其他地址，請注明
If a HK Address (non-PO BOX) cannot be provided, please complete [Part6-Appointment of Process Agent]. 如未能提供一個香港地址（非郵政信箱），必須填寫〔第六部份、法律文件接收人委任書〕。		
E-mail Address 電子郵箱 * This E-mail address will be registered to receive to receive notification on system login, trade execution and password reset if you have subscribed for the online trading service. 如有開通網上交易服務，此電子郵箱將登記用作接收系統登入、交易執行及變更密碼通知。		
Tel. No. 住宅電話	+Country Code-Area Code-Phone Number +國家代碼-地區代碼-電話號碼	☐ Same as Account holder (A) 與戶口持有人(A)相同 ☐ Other Tel. No, please state 其他電話，請注明 +Country Code-Area Code-Phone Number +國家代碼-地區代碼-電話號碼
Mobile 手提電話 *The first Mobile of Account Holder (A) will be the registered mobile number to receive 2FA One-Time Password if you will subscribe for the online trading service. 如需要開通網上交易服務，帳戶持有人(A)提供的第一個手提電話號碼將作為登記電話號碼以接收雙重認証的一次性密碼。	(1) +Country Code-Area Code-Phone Number +國家代碼-地區代碼-電話號碼 (2) +Country Code-Area Code-Phone Number +國家代碼-地區代碼-電話號碼	(1) +Country Code-Area Code-Phone Number +國家代碼-地區代碼-電話號碼 (2) +Country Code-Area Code-Phone Number +國家代碼-地區代碼-電話號碼
Tel. No. (Office) 辦公室電話	+Country Code-Area Code-Phone Number +國家代碼-地區代碼-電話號碼	+Country Code-Area Code-Phone Number +國家代碼-地區代碼-電話號碼
Fax No. (Office) 辦公室傳真	+Country Code-Area Code-Phone Number +國家代碼-地區代碼-電話號碼	+Country Code-Area Code-Phone Number +國家代碼-地區代碼-電話號碼
Relationship with Account Holder (A) 與帳戶持有人(A)之關係		

5. Financial Information 財務資料簡要

Employment Status 就業狀況	☐ Employed 受雇 ☐ Self-employed 自雇 ☐ Retired 退休 ☐ Housewife 家庭主婦 ☐ Others 其他：________________	☐ Employed 受雇 ☐ Self-employed 自雇 ☐ Retired 退休 ☐ Housewife 家庭主婦 ☐ Others 其他：________________
Name of Employer 雇主名稱		
Occupation 行業		
Position 職位		
Years of Service 服務年數		
Annual Income(HKD) 每年總收入（港元）	☐ below $200,000 或以下 ☐ $200,001 to 至 $500,000 ☐ $500,001 to 至 $1,000,000 ☐ $1,000,001 to 至 $5,000,000 ☐ $5,000,001 or above 或以上	☐ below $200,000 或以下 ☐ $200,001 to 至 $500,000 ☐ $500,001 to 至 $1,000,000 ☐ $1,000,001 to 至 $5,000,000 ☐ $5,000,001 or above 或以上
Source of Fund 資金來源	☐ Salary 薪金 ☐ Income Accumulation 收入累積 ☐ Commission/Business Income 傭金/生意收入 ☐ Pension/Reserve退休金/儲備 ☐ Return on Investment 投資收益 ☐ Others 其他：________________	☐ Salary 薪金 ☐ Income Accumulation 收入累積 ☐ Commission/Business Income 傭金/生意收入 ☐ Pension/Reserve退休金/儲備 ☐ Return on Investment 投資收益 ☐ Others 其他：________________
Source of Wealth 財富來源	☐ Salary and/or Bonus 受僱薪金及或花紅 ☐ Investment/Saving 投資/儲蓄 ☐ Sale of Property/Investment/Assets 售賣物業/投資/資產 ☐ Inheritance承繼遺產 ☐ Other 其他	☐ Salary and/or Bonus 受僱薪金及或花紅 ☐ Investment/Saving 投資/儲蓄 ☐ Sale of Property/Investment/Assets 售賣物業/投資/資產 ☐ Inheritance承繼遺產 ☐ Other 其他

	Account Holder (A) 帳戶持有人(A)	Account Holder (B) 帳戶持有人(B)
Liquid Assets Held (HKD) (including Cash, Deposit and short term investments etc.) 擁有流動資產（港元） (包括現金、存款及短期投資等)	☐ below $100,000 或以下 ☐ $100,001 to 至 $300,000 ☐ $300,001 to 至 $600,000 ☐ $600,001 to 至 $900,000 ☐ $900,001 to 至 $1,200,000 ☐ $1,200,001 or above 或更多	☐ below $100,000 或以下 ☐ $100,001 to 至 $300,000 ☐ $300,001 to 至 $600,000 ☐ $600,001 to 至 $900,000 ☐ $900,001 to 至 $1,200,000 ☐ $1,200,001 or above 或更多
Net worth ('Total Assets' minus 'Total Liabilities', excluding the value of your self-occupied property) 淨資產（總資產減去總負債，不包括自住物業的價值）	☐ below $5,000,000 或以下 ☐ $5,000,001 to 至 $8,000,000 ☐ $8,000,001 to 至 $12,000,000 ☐ $12,000,001 to 至 $15,000,000 ☐ $15,000,001 or above 或更多	☐ below $5,000,000 或以下 ☐ $5,000,001 to 至 $8,000,000 ☐ $8,000,001 to 至 $12,000,000 ☐ $12,000,001 to 至 $15,000,000 ☐ $15,000,001 or above 或更多
Residential Status 住屋	☐ Owned Property 自置物業 ☐ Mortgaged, outstanding amount 按揭物業，結欠：__________ ☐ Quarters 宿舍 ☐ Rented, monthly rent 租用物業，每月租金：__________ ☐ Others 其他：__________	☐ Owned Property 自置物業 ☐ Mortgaged, outstanding amount 按揭物業，結欠：__________ ☐ Quarters 宿舍 ☐ Rented, monthly rent 租用物業，每月租金：__________ ☐ Others 其他：__________
Years of Living 居住年期	年 月	年 月

6. Disclosure of Identity 相關身份披露

Is Client a director or an employee of a person registered or licensed with HK Securities and Futures Commission? 此帳戶最終權益擁有人及/或就此帳戶進行交易的最終負責人士，是否是香港證監會的持牌或註冊人士，或任何持牌法團或註冊機構的董事或職員？	☐ Yes 是, Name of employer 僱主名稱：__________ CE No中央編號：__________ (Please provide a consent letter issued by the employer. 請提供僱主同意開戶証明。) ☐ No 否	☐ Yes 是, Name of employer 僱主名稱：__________ CE No中央編號：__________ (Please provide a consent letter issued by the employer. 請提供僱主同意開戶証明。) ☐ No 否
Are you an employee of China Merchants Bank? 您是否招商銀行的雇員？	☐ Yes 是 ☐ No 否	☐ Yes 是 ☐ No 否
Are you an employee of CMBI Group? 您是否招銀國際集團的雇員？	☐ Yes 是 ☐ No 否	☐ Yes 是 ☐ No 否
Are you related to any employee of CMBI Group? 您是否招銀國際集團雇員的親屬？	☐ Yes 是, Name of staff 雇員姓名：__________ Relationship 關係：__________ ☐ No 否	☐ Yes 是, Name of staff 雇員姓名：__________ Relationship 關係：__________ ☐ No 否
Is your spouse a margin client of CMBIS? 你的配偶是否招銀證券的保證金客戶？	☐ Yes 是, Account Name 帳戶名稱：__________ Account No. 帳戶號碼：__________ ☐ No 否	☐ Yes 是, Account Name 帳戶名稱：__________ Account No. 帳戶號碼：__________ ☐ No 否
Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate margin account of CMBIS? 你是否單獨或與你的配偶共同控制任何招銀證券保證金帳戶 35%或以上投票權？	☐ Yes 是 A/C. Name 帳戶姓名:__________ A/C. No. 帳戶號碼:__________ ☐ No 否	☐ Yes 是 A/C. Name 帳戶姓名:__________ A/C. No. 帳戶號碼:__________ ☐ No 否

7. Settlement Account Information 結算帳戶資料

Hong Kong Banking Accounts (bank accounts under client name in HK only) 香港銀行資料記錄（只用於客戶本人同名的香港銀行帳戶存款）

Details of Bank Account (1) 銀行帳戶 (1) 資料	
Name of Bank 銀行名稱	
Name of Bank Account 帳戶名稱	
Bank Account Number 帳戶號碼	(HKD港幣/USD美元/CNY人民幣/MTC多種貨幣)
Details of Bank Account (2) 銀行帳戶 (2) 資料	
Name of Bank 銀行名稱	
Name of Bank Account 帳戶名稱	
Bank Account Number 帳戶號碼	(HKD港幣/USD美元/CNY人民幣/MTC多種貨幣)

8. Electronic Service Application 電子服務申請

Do you need online trading service? 您是否需要開通網上交易服務？

Hong Kong Stocks 港股 ☐ Yes 是 ☐ No 否

US Stocks 美股 ☐ Yes, I have read, understood and agreed the clauses in the Application form of US stocks online trading services. 是，本人/吾等已閱讀及明白並同意接受招銀證券《美國股票網上交易服務申請》表格內之條款。 ☐ No 否

Real Time Quote Services (Optional) 即時報價服務 （可選）：

☐ I would like to apply the Real Time Quote Services and understand there is a charge of USD 10 per month 本人要求申請即時報價服務並同意支付每月 10 美元額外費用。

☐ I do not want to apply the Real Time Quote Services 本人不需要即時報價服務

Client account code and password receive method, please choose one only (Please state if differs from above)
帳戶號碼及密碼，可選擇以下一種方式收取（如與上述不同，請注明）

☐ E-mail address 電子郵箱： ☐ Mailing address 郵寄地址：

Do you need Merchant Payment Service? 您是否需要開通銀證轉帳服務？ ☐ Yes 是 ☐ No 否

Details of Designated Transfer Banking Account (1) 指定轉帳銀行帳戶 (1) 資料	
Name of Bank 銀行名稱	China Merchant Bank (Hong Kong Branch) 招商銀行香港分行
Name of Bank Account 帳戶名稱	
Bank Account Number 帳戶號碼	(HKD港幣/USD美元/CNY人民幣/MTC多種貨幣)
Details of Designated Transfer Banking Account (2) 指定轉帳銀行帳戶 (2) 資料	
Name of Bank 銀行名稱	Wing Lung Bank 永隆銀行
Name of Bank Account 帳戶名稱	
Bank Account Number 帳戶號碼	(HKD港幣/USD美元/CNY人民幣/MTC多種貨幣)

9. Method of Communication 通訊方法

By Mail (all communications, including client statements will be sent, choose one only) 郵寄方式 （僅選其一，所有通訊包括客戶結算單將寄往）：

☐ E-mail address (Recommend) 電子郵箱（推薦） ☐ Residential address 住宅地址 ☐ Business address 辦公室地址

☐ Correspondence Address 通訊位址 ☐ Others (Please specify) 其他（請注明）：

(If select by E-mail, please read the [Client's Consent-Electronic Communication] below 如選以電子郵箱收件，請閱讀以下〔客戶同意書－電子通訊〕部份)

Client's Consent-Electronic Communication 客戶同意書－電子通訊

(Please check the box if you agree with the clauses of [Client's Consent-Electronic Communication]. 如你同意〔客戶同意書－電子通訊]之條款，請剔選以下方格。)

☐ I/We the undersigned client, hereby consent to CMB International Securities Limited (CMBIS) providing all notices, statements, trade confirmations and other communications by CMBIS to me/us through electronic communication and I/We hereby request, instruct and authorize CMBIS to transmit, release and send all notices, statements, contract notes and other communications (the "Communications") to me/us at my/our designated e-mail address as specified below. 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 Client's Agreement / Margin Client's Agreement and other related documents and terms and agree and undertake to hold CMBIS 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 CMBIS'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 physical contract note and physical account statement by mail. I/We undertake to notify CMBIS of any changes in my/our email address. If CMBIS got two successive messages in relation to failure of sending the statement to my/our email address electronically, CMBIS 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. CMBIS has explained to me/us, and I/we acknowledge and agree to, the content of this consent. 本人/吾等，以下簽署之客戶，謹此同意招銀國際證券有限公司（招銀證券）通過電子通訊向本人/吾等以本人/吾等於下列所指定之電子郵箱寄發成交單據及其它通訊（該等通訊）。本人/吾等確認及接受通過電子通訊的風險，包括但不限於載于現金客戶協議書／保證金客戶協議書及其他相關檔及條款中所列的風險，並同意及承諾免除招銀證券因招銀證券通過電子服務提供該等通訊而令本人/吾等產生、蒙受及/或承受的一切虧損、損失、利息、費用、開支、法律訴訟、付款、索償等等的責任。本人/吾等明白本人/吾等只可從郵寄帳單或電子通訊選擇其一，一經選用電子通訊，本人/吾等將不會收到郵件形式寄發之成交單及月結單。於本人/吾等選用電子通訊期間，本人/吾等將第一時間通知招銀證券有關本人/吾等電子郵箱的變更。假若招銀證券寄發電子帳單後連續兩次收到錯誤之通訊，招銀證券可選擇以郵寄形式取代電子通訊。如本同意書中、英文本之解釋或意思有不相同，客戶同意以英文本為准。招銀證券已向本人/吾等解釋本同意書，本人/吾等聲明本人/吾等完全明白同意書之內容。

10. Ultimate Beneficial Owner 帳戶最終權益擁有人身份

Are you the ultimate beneficial owner(s) of this Account 您是否此帳戶的最終受益人？ ☐ Yes 是 ☐ No 否

If not, please provide the ultimate beneficial owner details as follows 若不是，該帳戶的最終受益人情況如下：

Name 姓名： ________ ID/ Passport/ Place of Issue 身份證/護照/簽發地： ________ Tel. No. 電話： ________

Address 地址： Signature 簽名：

Is the ultimate beneficial owner U.S. citizen or a U.S. tax resident 最終受益人是否美國公民或就稅務目的而言的居民？ ☐ Yes 是 ☐ No 否

11. Persons Authorized to Give Order/Dealing Instructions (If Applicable) 獲授權發出交易/買賣指示的人士 （如適用）

Name 姓名： ________ ID/ Passport/ Place of Issue 身份證/護照/簽發地： ________ Tel. No. 電話： ________

Address 地址： Signature 簽名：

Name 姓名： ________ ID/ Passport/ Place of Issue 身份證/護照/簽發地： ________ Tel. No. 電話： ________

Address 地址： Signature 簽名：

Part 2- Client Investment Risk Profile Questionnaire (Individual)
第二部份、客戶投資風險取向問卷（個人）

Notice to Customer(s) 客戶須知:

1. This questionnaire is designed to help CMB International Securities Limited ("CMBIS") to assess your investment risk profile and to collect information about your risk appetite, financial situation, investment experience and investment horizon. If relevant information is not provided, CMBIS may not be able to process your application(s). The collection and use of information in this questionnaire does not constitute any offer, solicitation or recommendation of any investment product or services and it should not be considered an investment advice. 本問卷用以協助招銀國際證券有限公司（「招銀證券」）評估您的投資風險取向，並收集有關您的風險取向、財政狀況、投資經 驗及投資年期的資料。如您不提供有關資料，招銀證券可能無法處理您的申請。搜集及使用本問卷內的資料並不構成任何投資產品 或服務的要約、招攬或建議，且不應被視為一項投資建議。
2. CMBIS is required to obtain information on your financial situation, investment experience and investment objectives in order to make reasonable product suitability assessment. You should also consider your own circumstances, including but not limited to your financial situation, investment experience and investment objectives, before making any investment decisions. Please consider consulting your independent investment adviser before making any investment decisions. 為作出合理的產品合適性評估，招銀證券需要您提供有關財政狀況、投資經驗及投資目標的資料。於做出任何投資決策前，您應考慮自身情況，包括但不限於您的財政狀況、投資經驗及投資目標。於做出任何投資決策前，您應考慮諮詢您的獨立投資顧問。
3. For questions on your financial and investment information, such as the amount of investable assets, total amount invested in a specific product, or investment experience, ALL your holdings and transactions, whether within CMBIS or not, should be taken into account. 有關您的財務或投資資料之問題，例如可投資資產、某一產品的總投資金額或投資經驗等，您在招銀證券之內及本行以外的 所有資產及交易均應計算在內。
4. All information obtained in this questionnaire will be used and kept confidential in accordance with our Data Policy Notice. 招銀證券將會根據招銀證券的資料政策通告使用並保密處理本問卷所收集的資料。
5. The results of this questionnaire are derived from information you provide to CMBIS. You must provide information that is valid, true, complete, accurate and up-to-date. Your failure in doing so would materially affect our suitability assessment. 本問卷的結果乃根據您提供給招銀證券的資料得出。請您務必提供有效、真實、完整、準確及最新的資料。您未能提供該等資料將會對招銀證券的合適性評估產生重大影響。
6. Please circle the most appropriate answer. 請圈出最適合的一項答案。

Client Name 客戶姓名		**Completion Date** 填寫日期	
CIF No 客戶號		**Account No** 帳戶號碼	

1. Which of the following age group do you belong to?
你屬於以下那一個年齡組別?

(a) 18 to 24
18 至 24 歲

(b) 25 to 34
25 至 34 歲

(c) 35 to 50
35 至 50 歲

(d) 51 to 64
51 至 64 歲

(e) 65 or above
65 歲或以上

2. How much funds (including cash or highly liquid assets e.g. foreign currency, bullion, freely tradable securities, etc.) have been roughly reserved for your monthly household expenses?
你已預留大約多少備用金(包括現金或高流動性的資產，例如: 外幣、黃金、股票等)去應付每月的家庭開支?

(a) Less than 6 months of household expenses
少於 6 個月的家庭開支

(b) 6 to less than 12 months of household expenses
6 至少於 12 個月的家庭開支

(c) 12 to less than 24 months of household expenses
12 至少於 24 個月的家庭開支

(d) 24 months or more of household expenses
24 個月或以上的家庭開支

3. Please state your highest education level:
請簡述你的最高學歷:

(a) Primary or below
小學或以下

(b) Secondary or post-secondary
中學或專上學院

(c) University or above / professional qualifications (not related to Economics / Finance)
大學或以上 / 專業資格 (非財經學科相關)

(d) University or above / professional qualifications (related to Economics / Finance)
大學或以上 / 專業資格 (跟財經學科相關)

4. Which of the following is the best one that expresses your attitude toward price fluctuation and returns on financial investment?
以下那一項最佳表達你對金融投資上價格波動及回報的看法?

(a) In general, I can only bear less than 5% price fluctuation of financial investment within one year and do not expect considerable returns.
一般來說，本人在一年內只能夠承受金融投資上少於 5%的價格波動，並不預期有可觀的回報。

(b) In general, I can only bear less than 5% to 10% price fluctuation of financial investment within one year and would like to acquire returns better than the rate of bank deposits.
一般來說，本人在一年內只能夠承受金融投資上 5%至少於 10%的價格波動，並期望獲得比銀行存款較高的回報。

(c) In general, I can only bear 10% to less than 15% price fluctuation of financial investment within one year and would like to acquire returns that are comparable to the major stock market indexes.
一般來說，本人在一年內只能夠承受金融投資上 10%至少於 15%的價格波動，並期望獲得可以與主要股票市場相比的回報。

(d) In general, I can only bear 15% to less than 25% price fluctuation of financial investment within one year and would like to acquire returns that are better than major stock market indexes.
一般來說，本人在一年內只能夠承受金融投資上 15%至少於 25%的價格波動，並期望獲得比主要股票市場更佳的回報。

(e) In general, I can bear 25% or more price fluctuation of financial investment within one year and would like to acquire returns that are remarkably higher than the major stock market indexes.
一般來說，本人在一年內能夠承受金融投資上 25%或以上的價格波動，並期望獲得明顯高於主要股票市場的回報。

5. In general cases, how long is the maximum length of your expected investment horizon?
在一般情況下，你期望的最長投資年期是多久?

(a) Not more than 1 year
不超過 1 年

(b) Not more than 3 years
不超過 3 年

(c) Not more than 5 years
不超過 5 年

(d) More than 5 years
超過 5 年

6. What is the percentage of your after-tax income that will be set aside for investment purpose?
你將會分配多少百分比的稅後收入作為投資用途?

(a) Less than 10%
少於 10%

(b) Less than 20%
少於 20%

(c) Less than 30%
少於 30%

(d) Less than 50%
少於 50%

(e) 50 % or more
50%或以上

7. What is the percentage of your net worth asset (excluding the value of your self-occupied property) that will be set aside for investment purpose?
你將會分配多少百分比的淨資產(即不包括自住房產的價值)作為投資用途?

(a) Less than 10%
少於 10%

(b) Less than 20%
少於 20%

(c) Less than 30%
少於 30%

(d) Less than 50%
少於 50%

(e) 50 % or more
50%或以上

8. Which of the following is the best one that expresses your principal investment objective?
以下那一項最佳表達你的主要投資目標?

(a) Capital Preservation - I principally aim to keep investment loss at a minimum with not much concern on overall returns.
保本為主 - 本人主要旨在儘量減低投資損失，較少關注整體的回報。

(b) Income Oriented - I principally aim to achieve stable income or counteract inflation.
收入主導 - 本人主要旨在獲取穩定收入或抵消通脹。

(c) Income-and-Growth - I principally aim to achieve returns from both capital appreciation and stable income.
收入及增長 - 本人主要旨在獲取來自資本增值及穩定收入的回報。

(d) Growth Oriented - I principally aim to achieve returns that focus on capital appreciation.
增長主導 - 本人主要旨在獲取來自以資本增值為主的回報。

(e) Aggressive Growth - I principally aim to achieve higher returns derived from the complex or leveraged investment products.
積極增長 - 本人主要旨在獲取來自複雜或杠杆投資產品的較高回報。

9. Please state your investment experience in the following product type within the past 3 years: 請簡述你對以下投資產品類別，在過去 3 年內的買賣經驗: 請簡述你對以下投資產品類別，在過去 3 年內的買賣經驗:
(Choose more than one answer if applicable 如適用, 可選擇多於一項)

Product Type 產品類別		知識 Knowledge	經驗年期 Year(s) of Experience	No. of transactions within the past 3 Years 在過去 3 年內的交易次數		
				No Transaction 沒有交易	Less Than 5 Transactions 五次以下買賣	5 or More Transactions 五次或以上買賣
(a)	Foreign Currency/Precious Metals 外幣/貴金屬	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5 - 10 ☐ > 10	☐ **(i)**	☐ **(ii)**	☐ **(iii)**
(b)	Fixed Income Securities (without special features) 定息債券(沒有附帶特別條款) e.g. CDs, Government Bonds 例如: 存款證、政府、債券	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5 - 10 ☐ > 10	☐ **(i)**	☐ **(ii)**	☐ **(iii)**
(c)	Fixed Income Securities (with special features) 定息債券(附帶特別條款) e.g. Perpetual Bonds, Preferred Shares 例如: 永續債券、優先股票	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5 - 10 ☐ > 10	☐ **(i)**	☐ **(ii)**	☐ **(iii)**
(d)	Principal Protected Structured Product 保本結構性產品 e.g. Structured Deposits 例如: 結構性存款	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5 - 10 ☐ > 10	☐ **(i)**	☐ **(ii)**	☐ **(iii)**
(e)	Non-principal Protected Structured Product (Currency/ Interest Rate Linked) 非保本結構性產品(貨幣/利率掛鉤) e.g. Currency Linked Deposits 例如: 貨幣掛鉤存款	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5 - 10 ☐ > 10	☐ **(i)**	☐ **(ii)**	☐ **(iii)**
(f)	Unit Trust / Mutual Fund (Type I: Money Market Fund, Guarantee Fund) 單位信託/互惠基金(第一類: 貨幣市場基金、保證基金)	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5 - 10 ☐ > 10	☐ **(i)**	☐ **(ii)**	☐ **(iii)**
(g)	Unit Trust / Mutual Fund (Type II: Bond Fund, Mixed Allocation Fund) 單位信託/互惠基金 (第二類: 債券基金、 混合分配基金)	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5 - 10 ☐ > 10	☐ **(i)**	☐ **(ii)**	☐ **(iii)**
(h)	Unit Trust / Mutual Fund (Type III: Equity Fund, High Yield Bond Fund) 單位信託/互惠基金 (第三類: 股票基金、 高收益債券基金)	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5 - 10 ☐ > 10	☐ **(i)**	☐ **(ii)**	☐ **(iii)**

Product Type 產品類別		Knowledge 知識	Year(s) of Experience 經驗年期	No. of transactions within the past 3 Years 在過去 3 年內的交易次數: No Transaction 沒有交易	Less Than 5 Transactions 五次以下買賣	5 or More Transactions 五次或以上買賣
(i)	Unit Trust / Mutual Fund (Type IV: Commodity Fund, Alternative Investment Fund) 單位信託/互惠基金 (第四類: 商品基金、另類投資基金)	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5 - 10 ☐ > 10	☐ **(i)**	☐ **(ii)**	☐ **(iii)**
(j)	Stocks or ETFs 股票或交易所買賣基金	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5 - 10 ☐ > 10	☐ **(i)**	☐ **(ii)**	☐ **(iii)**
(k)	Non-principal Protected Structured Product 非保本結構性產品 e.g. Equity Linked Investment, Equity Linked Note or Credit Linked Note 例如: 股票掛鉤投資、股票掛鉤票據、信貸掛鉤票據	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5 - 10 ☐ > 10	☐ **(i)**	☐ **(ii)**	☐ **(iii)**
(l)	Derivatives / Leveraged Product 衍生工具/杠杆產品 e.g. Option, Futures, Forwards, Interest Rate Swap, Cross Currency Swap, Warrant, Margin Trading, including embedded derivatives financial instruments whether traded on an exchange or not. 例如: 期權、期貨、遠期、利率掉期、交叉貨幣掉期、認股權證、孖展交易、包括嵌入式衍生性金融工具及不論是否於交易所買賣	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5 - 10 ☐ > 10	☐ **(i)**	☐ **(ii)**	☐ **(iii)**
(m)	Others 其它 e.g. Private Equity, Hedge Fund 例如: 私募基金、對沖基金	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5 - 10 ☐ > 10	☐ **(i)**	☐ **(ii)**	☐ **(iii)**

Assessment Result 評估結果

Based on the answers you have provided, you have been informed that your investment risk profile is

	Risk Profile 投資風險取向	**Attributes and Risk Preferences 特性及風險偏好**
☐	**Conservative 保守型**	Generally speaking, these customers prefer investment products of low uncertainty on returns or preserve capital; and/or are equipped with limited/no knowledge and/or experience in financial investment. 一般而言，這類客戶偏向回報較為穩定的投資產品或保存資本，及/或在金融投資方面具備有限/沒有知識及/或經驗。
☐	**Moderate 穩健型**	Generally speaking, these customers are equipped with some knowledge and/or experience in financial investment; and/or are willing to take modest risk so as to achieve returns better than bank deposits. 一般而言，這類客戶對於金融投資方面具有一些知識及經驗，及/或願意承擔適度的風險，以獲取比銀行存款較高的回報。
☐	**Balanced 均衡型**	Generally speaking, these customers are equipped with the related investment knowledge and/or experience; are willing to accept commensurable price fluctuation and take a certain degree of risk so as to achieve returns in comparison with the major stock market indexes; and possess good financial capability to deal with the loss incurred from the related investment. 一般而言，這類客戶具備有關的知識及/或經驗，願意接受相應的價格波動及承擔一定程度的風險，以獲取能與主要股票市場相比的回報，與及擁有良好的財政能力，去應付相關的投資損失。
☐	**Growth 增長型**	Generally speaking, these customers are equipped with the related investment knowledge and/or experience; are willing to accept relatively higher price fluctuation and take relatively higher risk so as to achieve returns better than the major stock market indexes; and possess solid financial capability to deal with the loss incurred from the related investment. 一般而言，這類客戶具備有關的知識及/或經驗，願意接受相對較高的價格波動及承擔相對較高的風險，以獲取能比主要股票市場更高的回報，與及擁有健全的財政能力，去應付因相關投資導致的損失。
☐	**Aggressive 進取型**	Generally speaking, these customers demonstrate a rather strong preference, knowledge and / or experience on high-risk, complex or leveraged products; and/or possess substantial financial capability to deal with the loss incurred from the related investment. 一般而言，這類客戶對於高風險以及結構性或杠杆產品具有較強的喜好、知識及/或經驗，與及擁有雄厚的財政能力，去應付因相關投資導致的損失。

Customer Declaration 客戶確認

I hereby declare that the information I provide in this form is valid, true, complete, accurate and up-to-date to the best of my knowledge and agree and confirm that my investment risk profile is correctly stated above. I hereby agree that this investment risk profile will be captured in CMBIS's record, and CMBIS will adopt the above assessment result for product suitability assessment. 本人謹此聲明根據本人所知悉的全部，為本問卷提供有效、真實、完整、準確及最新的資料，並同意及確認上述的投資風險取向已正確顯示本人的投資風險取向。本人同意此投資風險取向將存於招銀證券記錄，及招銀證券將採取本問卷結果作產品合適性評估 。

Important Note 重要事項:

Your investment risk profile assessment is based on your overall responses rather than your answer to any individual question. However, your product specific suitability assessment will be separately conducted before every single transaction is made in future. 招銀證券將就您對整份問卷提供的答案而綜合評估您的投資風險取向，而非取決於問卷內任何單一問題的答案。而您的產品合適性評估則會在往後於每次交易前敘做。

Disclaimer 免責聲明:

This questionnaire and the results do not constitute any offer, solicitation or recommendation of any investment product or services and it should not be considered an investment advice. You should also consider your own circumstances, including but not limited to your financial situation, investment experience and investment objectives, before making any investment decisions. The results of this questionnaire are derived from information you provide to CMBIS. You must provide information that is valid, true, complete, accurate and upto-date. Your failure in doing so would materially affect our suitability assessment. Please consider consulting your independent investment adviser before making any investment decisions. Personal information collected in this questionnaire will be kept confidential, subject to our Data Policy Notice. 本問卷及其結果並不構成任何投資產品或服務的要約、招攬或建議，且不應被當作為一項投資建議。您在作出任何 投資決定前，亦應考慮您的個人狀況，包括但不限於您的財政狀況、投資經驗及投資目標。本問卷的結果來自您向本行提供的 資料。您必須提供有效、真實、完整、準確及最新的資料，否則將會嚴重影響招銀證券的合適性評估。在作出任何投資決定前，請考慮諮詢您的獨立投資顧問。除招銀國際的資料政策通告另有規定外，本問卷所收集的個人資料，將保密處理。

Part 3- Derivatives Knowledge Questionnaire
第三部份、衍生產品知識問卷

This questionnaire serves to help CMB International Securities Limited understand your knowledge in derivative and assess whether your chosen product is suitable for you.
衍生產品問卷說明招銀國際證券有限公司瞭解你對衍生工具的認識，並確認你是否能夠認購具有衍生工具的產品。

Account Name: 帳戶名稱：	
Account No.: 帳戶號碼:	
Date of Completion.: 完成日期:	

1. Do you read carefully and understand the features of and risks associated with the derivative products as documented in the Account Agreements-Schedule 2-Explanation of Risks associated with Exchange –Traded Derivative Prodcuts? 你已經仔細閱讀及明白載於《帳戶協議-附表 2、就在交易買賣的衍生產品所附帶的風險作出解釋》所述的衍生工具的特性及風險?	☐ Yes 是 ☐ No 否
2. Which is/are common type(s) of derivative in the market? 哪一些專案為常見的衍生工具產品?	☐ Futures 期貨 ☐ Forwards 遠期合約 ☐ Options 期權 ☐ All of the above 上述各項皆是
3. What is/are the main function of derivatives in portfolio management? 在投資產品中，衍生工具的主要用途是什麼?	☐ Hedging 對沖 ☐ Changing asset mix of investment portfolio 調配投資組合內的資產分配 ☐ Income enhancement 提升收益 ☐ All of the above 上述各項皆是
4. Which is/are the key risk(s) of using derivatives? 哪一些專案是使用衍生工具涉及的主要風險?	☐ Market risk 市場風險 ☐ Liquidity risk 流動性風險 ☐ Counterparty credit risk 交易對手信貸風險 ☐ All of the above 上述各項皆是
5. Which will cause derivatives to magnify loss in adverse conditions? 哪一項會令衍生工具在市況欠佳時將損失增大?	☐ Hedging 對沖 ☐ Leverage 杠杆 ☐ Redemption/Switching 贖回轉換

I/We acknowledge and confirm that I/we have received and read the Personal Data Protection Statement attached to the Client Agreement entered into by me/us. I/We understand and agree that the information collected from me/us in this form together with any subsequent alterations or supplements to it can be used and/or transferred in accordance with any of the uses and purposes (including in relation to direct marketing) and/or to any of the transferees as fully described in the Personal Data Protection Statement and agreed by me/us pursuant to the Client Agreement.
本人／吾等進一步確認及確定，本人／吾等已明白及閱讀載于客戶資料中的個人資料保障聲明（不時作出修訂）。本人／吾等確認及同意從本人／吾等在本表格上收集的資料及日後之任何改動或補充，可根據個人資料保障聲明內的使用及目的（包括直接促銷）及／或轉交予受讓人的描述，而作使用及轉交。

Part 4- Common Reporting Standard – Self Certification Form (Individual)
第四部份、共同匯報標準-自我證明表格（個人）

To 致： CMB International Securities Limited 招銀國際證券有限公司
45/F., Champion Tower, 3 Garden Road, Central, Hong Kong 香港中環花園道 3 號冠君大廈 45 樓
Ref. No 參考編號：

Important Notes 重要提示：

- This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. 這是由帳戶時有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- An account holder should report all changes in his/her tax residency status to the reporting financial institution. 如帳戶持有人的稅務居民身份有所改變，應儘快將所有變更通知申報財務機構。
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by the reporting financial institution to the Inland Revenue Department. 除不適用或特別注明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號（*）的專案為申報財務機構須向稅務局申報的資料。

Part 1 Identification of Individual Account Holder （For joint or multiple account holders, complete a separate form for each individual account holder.）
第 1 部 個人帳戶持有人的身分識辨資料 （對於聯名帳戶或多人聯名帳戶，每名個人帳戶持有人須分別填寫一份表格）

(1)	Name of Account Holder 帳戶持有人的姓名	
	Title (e.g. Mr, Mrs, Ms, Miss) 稱謂 （例如：先生、太太、女士、小姐）	
	Last Name or Surname 姓氏 *	
	First or Given Name 名字 *	
	Middle Name(s) 中間名	
(2)	Hong Kong Identity Card or Passport Number 香港身份證或護照號碼	
(3)	Other ID Type and Number 其他身份證明文件類別及號碼	
(4)	Current Residence Address 現時住址	
	Line 1 (e.g. Suite, Floor, Building, Street, District) 第 1 行（例如：室、樓層、大廈、街道、地區）	
	Line 2 (City) 第 2 行（城市）*	
	Line 3 (e.g. Province, State) 第 3 行（例如：省、州）	
	Country 國家 *	
	Post Code/ZIP Code 郵遞區號/郵遞區號碼 *	
(5)	Mailing Address 通訊位址（Complete if different to the current residence address 如通訊位址與現時住址不同，填寫此欄）	
	Line 1 (e.g. Suite, Floor, Building, Street, District) 第 1 行（例如：室、樓層、大廈、街道、地區）	
	Line 2 (City) 第 2 行（城市）*	
	Line 3 (e.g. Province, State) 第 3 行（例如：省、州）	
	Country 國家 *	
	Post Code/ZIP Code 郵遞區號/郵遞區號碼 *	
(6)	Date of Birth 出生日期 * （dd 日/ mm 月/ yyyy 年）	
(7)	Place of Birth 出生地點 （Not compulsory 可不填寫）	
	Town/City 鎮/城市	
	Province/State 省/州	
	Country 國家	

Part 2 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") *

第 2 部　居留司法管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）*

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence. 提供以下資料，列明（a）帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給帳戶持有人的稅務編號。列出所有（不限於 5 個）居留司法管轄區。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number 如帳戶持有人是香港稅務居民，稅務是其香港身份證號碼。

If a TIN is unavailable, provide the appropriate reason A, B or C 如沒有提供稅務編號，必須填寫合適的理由：

Reason 理由 A	The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents. 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。
Reason 理由 B	The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。
Reason 理由 C	TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed. 帳戶持有人毋須提供稅務編號。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。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號， 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 如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

Part 3 Declarations and Signature

第 3 部　聲明及簽署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112). I certify that I am the account holder / I am authorized to sign for the account holder # of all the account(s) to which this form relates. I undertake to advise CMB International Securities Limited of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide CMB International Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人知悉及同意，財務機構可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人 / 本人獲帳戶持有人授權簽署本表格 #。

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知招銀國際證券有限公司，並會在情況發生改變後 30 日內，向招銀國際證券有限公司提交一份已適當更新的自我證明表格。

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. 本人聲明就本人所佑所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature 簽署 ______________________

Name 姓名 ______________________

Capacity 身份 ______________________

Date 日期（dd 日/mm 月/yyyy 年）______________________

（Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the power of attorney. 如你不是第 1 部所述的個人，說明你的身分。如果你是以授權人身份簽署這份表格，須夾附該授權書的核證副本。）

Delete as appropriate 請刪去不適用者

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance 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 who commits the offence is liable on conviction to a fine at level 3 (i.e. $10,000). 警告: 根據《稅務條例》第 80(2E)條，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，即屬犯罪。一經定罪，可處第 3 級（即$10,000）罰款。

Part 5- Acknowledgement by Client
第五部份、聲明

I/We do not wish the CMB International Securities Limited to use my/our personal data in direct marketing via the following channel(s) (please use "✓" to select the channel(s)) 本人/吾等不欲招銀國際證券有限公司使用本人/吾等的個人資料經以下管道作直銷推廣（請以"✓"選擇管道 ）:-

☐ Electronic Channels 電子管道 ☐ Mail 郵件 ☐ Personal Call 專人電話

If you return this Form without ticking any of the above boxes, it means that you do not wish to opt-out from any form of CMB International Securities Limited (CMBIS)'s direct marketing. 如您沒有在以上任何方格內以"✓"號顯示您的選擇，即代表您並不拒絕招銀國際證券有限公司（招銀證券）任何形式的直銷推廣。

☐ To improve and provide more comprehensive services to our customers, CMBIS may provide your personal data to other members of the Group*and any other persons for their use in direct marketing of financial, insurance, credit card, securities, commodities, investment, banking and related services and products and facilities and so forth. 為改善及提供更全面的服務予招銀證券的客戶，招銀證券可能會將您的個人資料提供予「本集團」*其他成員及其他人作其包括財務、保險、信用卡、證券、商品、投資、銀行及相關服務和產品及授信的直銷推廣。

Please tick "✓" this box if you do not wish CMBIS to provide your personal data to the above persons for the above purposes. 若您不欲招銀證券提供您的個人資料予以上人士作以上用途，請閣下在這方格上以"✓"號表示。

*The "Group" means CMBIS and its holding companies, branches, subsidiaries, representative offices and affiliates, wherever situated. Affiliates include branches, subsidiaries, representative offices and affiliates of CMBIS's holding companies, wherever situated. *「本集團」指招銀證券及其控股公司、分行、附屬公司、代表辦事處及附屬成員，不論其所在地。附屬成員包括卡公司的控股公司之分行、附屬公司、代表辦事處及附屬成員，不論其所在地。

The above represents your present choice regarding whether or not to receive direct marketing materials, and CMBIS's intended provision of your personal data to other members of the Group* for their use in direct marketing. This replaces any choice communicated by you to CMBIS prior to this application. Please note that your above choice applies to the direct marketing of the classes of products, services and/or subjects as set out in CMBIS's Data Policy Notice. Please also refer to the said Notice on the kinds of personal data which may be used in direct marketing and the classes of persons to which your personal data may be provided for them to use in direct marketing. 以上代表閣下現在對是否接收直銷推廣資料，以及對招銀證券擬將閣下個人資料提供予「本集團」*其他成員作其直銷推廣的選擇，亦取代任何閣下之前已告知招銀證券的選擇。請注意，閣下以上的選擇適用於根據招銀證券的「資料政策通告」上所載的產品，服務及/或目標類別的直銷推廣。請閣下參考該通告上以得知在直銷推廣上可使用的個人資料的種類，以及閣下的個人資料可提供予甚麼類別的人士以供該等人士在直銷推廣中使用。

I/We confirm and represent that the information on this Client Information Form and documents provided in connection with this application is true, complete and correct and that the representations in the attached agreement are accurate. CMB International Securities Limited (CMBIS) is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. CMBIS 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. 本人/吾等在此確認在客戶資料表格所提供的資料及檔全部為真實、完整和正確，以及附上的協議中的陳述均屬準確。除非招銀國際證券有限公司（招銀證券）接到更改有關本資料表格內容的書面通知，否則招銀證券可完全依賴這些資料及陳述做一切用途。客戶授權招銀證券可隨時聯絡任何人包括客戶的銀行、經紀或任何信貸機構等，核實本資料表內的資料及陳述。

Pursuant to FATCA or applicable local laws, I/We hereby consent to CMBIS to report my personal data to the U.S. applicable local regulators or tax authorities where necessary in order to comply with FATCA or applicable local laws. 根據FATCA或相關當地法律，本人/吾等同意向招銀證券彙報我的個人資料到美國或適用的當地監管機構或稅務機關，並在必要時為符合FATCA或適用的當地法律。

I/We agree and confirm the Specimen Signature(s) herein under will be used to verify all written instructions given relating to the operation of the Account(s). 本人/吾等同意並確定下列簽署式樣將被用作核證任何就帳戶運作之書面指示。

My/our signature(s) will be used to verify any written instructions to operate the account. 本人/吾等的簽署印鑒樣式將被用作核實任何對該帳戶進行操作的書面指示。

I/We also ensure that the information provided in the "Investment Risk Profile Questionnaire" is true to me/us and is solely based on my/our own circumstances and judgment, and I/we accept your assessment. At the same time, I/we confirm that if there is any situation/conditions happened to affect my/our risk tolerance level, I/we must take the initiative to require CMBIS to reassess my/our risk tolerance level. Otherwise I / we shall bear all the consequences resulting therefrom. 本人/吾等亦保證《投資風險取向分析問卷》所填寫之資訊為本人/吾等真實的意思，完全獨立依據自身情況和判斷做出上述答案，並接受貴行評估意見。同時確認如本人/吾等發生可能影響自身風險承受能力的情形，再次購買金融產品時必須主動要求招銀證券重新對本人/吾等進行風險承受能力評估。否則由此導致的一切後果由本人/吾等承擔。

☐ I/We, the undersigned Client, acknowledge and confirm that I/We have read and understood and accepted the provisions of the Cash Client's Agreement / Margin Client's Agreement and other related documents and terms, including (inter alia) the Risk Disclosure Statement and Personal Data Protection Statement, and agree to be bound by each of the above as amended and/or supplemented from time to time. I/We have been referred to the Cash Client's Agreement / Margin Client's Agreement and other related documents and terms, including (inter alia) the Risk Disclosure Statement and Personal Data Protection Statement, 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 Cash Client's Agreement / Margin Client's Agreement and other related documents and terms, including (inter alia) the Risk Disclosure Statement and Personal Data Protection Statement, ask questions and take independent advice if I/We wish. 本人/吾等為下述簽署客戶已閱讀過、明白及接受貴公司附上的現金客戶協議書／保證金客戶協議書及其他相關文件及條款，包括但不限於風險披露聲明及個人資料保障聲明，並且同意受不時經修改及／或補充的該等文件所約束。本人／吾等並已獲展示中英文本的現金客戶協議書／保證金客戶協議書及其他相關文件及條款，包括但不限於風險披露聲明及個人資料保障聲明，及獲以下職員按照本人/吾等所選擇的語言解釋明白；及本人／吾等已獲邀閱讀現金客戶協議書／保證金客戶協議書及其他相關文件及條款，包括但不限於風險披露聲明及個人資料保障聲明，提出問題及徵求獨立的意見（如本人/吾等有此意願）。

Signature 客戶簽名	Signature (Joint Account Holder) 客戶簽名（聯名帳戶持有人）
Name 客戶姓名	Name 客戶姓名
Date 日期 ：	Date 日期 ：

For Joint Account Only 聯名帳戶適用	☐ All written instruction of the account should be jointly signed by both account holders 所有帳戶書面指示須由兩位帳戶持有人同時簽署

Witness 見證人

Witness: I, the undersigned, have witnessed the signature and inspected the original identity document of the above-named client. 見證人的見證：本人已見證及驗證上述客戶之簽署及有關其身份證明文件之正本。					
Name of Witness 見證人姓名：		Witness Signature 見證人簽署：		Date 日期：	
Address 見證人地址：				Occupation 見證人職業：	

Declaration By Staff/ Licensed Representative 職員/持牌代表的聲明

I confirm that I have provided the Risk Disclosure Statements in the language of the Customer's choice (English or Chinese) and that I have invited the Customer to read the Risk Disclosure Statements, to ask questions and advice to take independent advice if the customer wishes. 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、提出問題及徵求獨立的意見（如客戶有此意願）。			
Name of Staff/ Licensed Representative 職員/持牌代表名稱：		CE. No 中央編號：	
Signature 職員/持牌代表簽署：		Date 日期：	

Part 6- Appointment of Process Agent (If Applicable)
第六部份、法律文件接收人委任書（如適用）

To : CMB International Securities Limited
致 ： 招銀國際證券有限公司

We/I , the undersigned account holder, refer to the securities trading / margin financing account that we/I are/am maintaining with CMB International Securities Limited ("CMBIS"), which is subject to the Account Opening Agreement signed by us/me, the Cash Client Agreement and Margin Client Agreement which may be amended and/or supplemented by CMBIS from time to time, the Personal Data Privacy Statement, Risk Disclosure Statement and all other agreements and documents in relation and ancillary thereto (collectively the "Account Agreements").
本函乃涉及吾等/本人，即以下簽署之戶口持有人，在招銀國際證券有限公司（“招銀證券”）開設之証券買賣 /孖展戶口。該戶口受到吾等/本人簽署之開戶協議、招銀證券發出及不時修訂及/或補充之現金客戶協議及保証金客戶協議及、個人資料保障聲明、風險披露聲明以及與之有關及附帶之其它所有協定及文件所規限（統稱“帳戶協議”）。

We/I hereby irrevocably appoint the below person as our/my process agent to receive and acknowledge on our/my behalf service of any writ, summons, order, judgment or other notices of legal process in Hong Kong Special Administrative Region of the People’s Republic of China ("Hong Kong") arising out of or in connection with the Account Agreements. We/I agree that any service of any legal process on the process agent shall constitute sufficient service on ourselves/myself for the purpose of legal proceedings in the courts of Hong Kong. By accepting this appointment, the process agent agrees not to retire as our/my process agent unless and until a successor process agent is appointed and notice thereof is given to CMBIS. Nothing herein shall affect the right of CMBIS to serve process in any other manner permitted by law.
吾等/本人特此不可撤銷地委任下列人士為吾等/本人之法律文件接收人，負責接收及認收在中華人民共和國香港特別行政區 （“香港”）因証券戶口及孖展文件產生或與之有關而送達之令狀、傳召、命令、判決書以及其他法律程序通知。吾等/本人同意將法律文件送達法律文件接收人，就香港法院的法律程序而言，已構成對吾等/本人妥善送達。通過接受有關委任，法律文件接收人同意，其直至吾等/本人完成委任繼任的法律文件接收人及就該事宜通知招銀證券之前，不得辭退作為吾等/本人法律文件代理人的職務。此委任書所載的條款不應影響招銀證券行使其權力，以任何其他法律許可的方式送達法律程序文件。

To Be Completed By Account Holder 由戶口持有人填寫	
Signature 簽署	Date 日期

From Process Agent 由法律文件接收人出具：
We/I, the undersigned, hereby agree and confirm our/my acceptance of appointment by the above account holder as his process agent.
吾等/本人，即以下簽署人士，謹此同意並確認吾等/本人接受上述戶口持有人之委任，作為其法律文件接收人。

To Be Completed By Process Agent 由法律文件接收人填寫	
Name 姓名	Signature 簽署
Address 地址 (Address proof must be provided 必須提供地址証明）	Date 日期

Internal Use Only 內部使用

客戶主任/經理

面對面開戶適用			
見面日期及時間：		地點：	
會面人士：			

傭金： □ 標準 □ 招行員工 □ 職員 □ 其他 (請注明) ________電話 ________網上 (審批簽署: ____________________)

客戶主任/經理簽署: ________________________________ 負責人員簽署: ________________________________

(Optional)

介紹人資料 □ 行外 介紹人姓名：______________ 聯繫電話：_________________ 備註：__________________

□ 行內 介紹人(姓名/核心系統號) ________________/______________

業務條線： □ 零售 P / □ 對公 C / □ 國際 I / □ 其他 O

分行（分行名稱/分行號）: ______________________/________ 網點（網點名稱/網點號）: ____________________/_________

若為行內客戶請提供客戶招行銀行卡資料： 一卡通____________________ 客戶經理確認簽名：_______________________

資料輸入/日期：	資料查核/日期：

Use for FATCA Compliance 美國「外國帳戶稅收遵從法」

☐ Opt to be recalcitrant	☐ Situation resolved
原因 :____	原因 :____
檢查及資料登錄/日期： __________________________	檢查及資料登錄/日期： __________________________
資料覆核/日期： ____________________________________	資料覆核/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) 美國公民，包括出生在美國領土或屬地，美國（即美屬薩摩亞，關島，北馬里安納群島，波多黎各和美國維爾京群島），而美國稅務居民是指美國個人綠卡持有人（美國永久居民卡，即持有人）或個人滿足實際天數測試（即他/她已經在三年至少 31 天實際的納稅年度和相當於 183 天身在美國）。
2. Clients should seek for their own tax advisors regarding the substantial presence test if necessary. 客戶應尋求適合自己的稅務顧問以進行有關的實際天數測試。

-End 完-