



## Change of Account Information & Addition of Account (s) Form - Individual

### 客戶資料更新& 加設帳戶表格 – 個人

To 致  CMB International Securities Limited 招銀國際證券有限公司  CMB International Futures Limited 招銀國際期貨有限公司

Collectively named "CMBI" 統稱為 "招銀國際"

- Please complete and return the form to 45/F., Champion Tower, 3 Garden Road, Central, Hong Kong. 請將表格交回至香港中環花園道3號冠君大廈45樓。
- If there is any change of name, ID/passport number, nationality and residential address, please provide supporting documents. (e.g. Deed poll, old and renewed ID/Passport, address proof etc.) 更改姓名、身份證/護照號碼、國籍或居住地址，請提供證明文件。(如改名契、新舊身份證、護照或地址證明等)
- Supporting document should be provided in original or certified true copies. Acceptable certifier includes licensed staff members of CMBI, certified public accountant, lawyer, notary public and/or chartered secretary in Hong Kong or equivalent jurisdictions. 證明文件必須是原件或經核證的副本。合資格之核證人員包括為招銀國際之持牌人、在香港或同等司法管轄區的專業人士，例如專業會計師、律師、公證人及/或特許秘書。

Account Number 帳戶號碼	Account Name 帳戶名稱
<input type="checkbox"/> Update to all CMBI Accounts 更新至所有招銀國際帳戶	

#### Change of Personal Particulars 更改個人資料

Name in English 英文姓名	First Name 名字	
	Middle Name 中間名	
	Last Name 姓氏	
	Alias 別名	
Name in Chinese 中文姓名	Last Name 姓氏	First Name 名字
Identity Document Types 身份證明文件類別 <sup>1</sup>	<input type="checkbox"/> HK Permanent ID card 香港永久性居民身份證 <input type="checkbox"/> HK ID Card 香港居民身份證 <sup>2</sup> <input type="checkbox"/> Others, please specify 其他，請註明：_____	<input type="checkbox"/> Passport 護照 <input type="checkbox"/> PRC ID Card 中華人民共和國居民身份證
ID/ Passport No. 身份證明文件號碼		
Place of Issue 簽發地		
ID/ Passport Expiry Date 身份證明文件到期日 (dd/mm/yyyy)		
Nationality 國籍		
Education Level 教育程度	<input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary or post-secondary 中學或專上學院 <input type="checkbox"/> 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) <input type="checkbox"/> 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)	
Residential Address 住宅地址		

<sup>1</sup> According to the Hong Kong Investor Identification Regime and the OTC Securities Transaction Reporting Regime, you are required to provide the relevant categories of identification documents in the following order of priority: (1) HKID; (2) National ID; (3) Passport. 根據香港投資者識別碼制度及場外證券交易匯報制度，閣下需按以下優先次序提供有關類別的身分證明：(1)香港身份證；(2)國民身分證；(3)護照。Please enclose a copy of the identity document if any. 如有，請附上身分證明文件副本。

<sup>2</sup> Please provide your passport to prove your nationality. 請提供你的護照以證明國籍。

Correspondence Address 通訊地址	(Please provide if different from the residential address 如與住宅地址不同，請提供)	
E-mail Address 電子郵箱	<input type="checkbox"/> Add 新增	
	<input type="checkbox"/> Change & Replace 更改及取代	
	<input type="checkbox"/> This E-mail address will be registered 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	<input type="checkbox"/> Add 新增	+Country Code-Area Code-Phone Number
	<input type="checkbox"/> Change & Replace 更改及取代	+國家代碼-地區代碼-電話號碼
Mobile 手提電話	<input type="checkbox"/> Add 新增	+Country Code-Area Code-Phone Number
	<input type="checkbox"/> Change & Replace 更改及取代	+國家代碼-地區代碼-電話號碼
	<input type="checkbox"/> This Mobile will be registered to receive 2FA One-Time Password if you have subscribed for the online trading service. 如有開通網上交易服務，電話號碼將登記用作接收雙重認證的一次性密碼。	
Tel. No. (Office) 辦公室電話	<input type="checkbox"/> Add 新增	+Country Code-Area Code-Phone Number
	<input type="checkbox"/> Change & Replace 更改及取代	+國家代碼-地區代碼-電話號碼
Fax No. (Office) 辦公室傳真	<input type="checkbox"/> Add 新增	+Country Code-Area Code-Phone Number
	<input type="checkbox"/> Change & Replace 更改及取代	+國家代碼-地區代碼-電話號碼
Method of Communication 通訊方式	(Including clients statement and client notice 包括客戶結單及所有通訊)	
	<input type="checkbox"/> Designated Email Address 指定電子郵箱	<input type="checkbox"/> Physical mail 郵箱 <sup>3</sup>
Employment Status 就業狀況	<input type="checkbox"/> Employed 受雇	<input type="checkbox"/> Senior Management 高級管理層
		<input type="checkbox"/> Administrative Staff 行政人員/ General Staff 一般職員/ Officer 辦公室員工
		<input type="checkbox"/> Professional 專業人士 (如醫生、律師、會計師)
		<input type="checkbox"/> Others, please specify 其他，請註明: _____
	<input type="checkbox"/> Self-employed 自雇/Freelancer 自由職業者 <sup>4</sup>	
	<input type="checkbox"/> Unemployed 無業/ Job Seeker 待業	
	<input type="checkbox"/> Retired 退休	
<input type="checkbox"/> Housewife 家庭主婦		
<input type="checkbox"/> Private Investor 自由投資者		
Name of Employer 雇主名稱		
Industry 行業		
Position 職位		
Years of Service 服務年數		
Annual Income(HKD) 每年總收入 (港元)	<input type="checkbox"/> below \$500,000 或以下	<input type="checkbox"/> \$500,001 to 至 \$1,000,000
	<input type="checkbox"/> \$1,000,001 to 至 \$5,000,000	<input type="checkbox"/> \$5,000,001 or above 或以上
Source of Wealth 財富來源	<input type="checkbox"/> Salary and/or Bonus 受雇薪金及或花紅	<input type="checkbox"/> Sale of Property or Assets 售賣物業或資產
	<input type="checkbox"/> Investment/Saving 投資/儲蓄	<input type="checkbox"/> Others 其他: _____
Source of Fund 資金來源	<input type="checkbox"/> Salary 薪金	<input type="checkbox"/> Income Accumulation/ Business Income 收入累積/ 生意收入
	<input type="checkbox"/> Return on Investment 投資收益	<input type="checkbox"/> Others 其他: _____

<sup>3</sup> There will be a relevant fee of physical statement service, which will be directly debited from the relevant account. Details please refer to the fee schedule on our official website. 收取郵寄結單，相關帳戶將被收取手續費。詳情請見官網上之收費表。

<sup>4</sup> Please provide information of self-employed business nature 請提供自僱業務性質的資料

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)	<input type="checkbox"/> below \$5,000,000 或以下 <input type="checkbox"/> \$10,000,001 to 至 \$50,000,000	<input type="checkbox"/> \$5,000,001 to 至 \$10,000,000 <input type="checkbox"/> \$50,000,001 or above 或以上
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)	<input type="checkbox"/> below \$100,000 或以下 <input type="checkbox"/> \$500,001 to 至 \$1,000,000	<input type="checkbox"/> \$100,001 to 至 \$500,000 <input type="checkbox"/> \$1,000,001 or above 或以上

### Settlement Account Information 結算帳戶資料

\* Please provide bank account number supporting documents which must be same legal entity name as client 請提供與客戶同名的銀行證明文件

<input type="checkbox"/> Add 新增 <input type="checkbox"/> Delete 刪除 <input type="checkbox"/> Change & Replace 更改及取代	
Name of Bank 銀行名稱	
SWIFT Code 銀行國際代碼 <i>*for non-HK Bank only</i> 只適用於非香港銀行	
Name of Bank Account 帳戶名稱	
Bank Account Number 帳戶號碼	
Bank Account Currency 帳戶貨幣	<input type="checkbox"/> MTC多種貨幣 <input type="checkbox"/> CNY人民幣 <input type="checkbox"/> HKD港幣 <input type="checkbox"/> USD美元 <input type="checkbox"/> Others 其他: _____

### Disclosure of Identity 相關身份披露

You are now a director or an employee of a person registered or licensed with HK Securities and Futures Commission 你現在為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	<input type="checkbox"/> Yes 是 · CE. No. 中央編號: _____ Please provide a consent letter issued by the employer. 謹請閣下提供僱主同意開戶證明。
You are now an employee of China Merchants Bank. 你現在為招商銀行的雇員	<input type="checkbox"/> Yes 是
You are now an employee of CMBI Group. 你現在為招銀國際集團的雇員	<input type="checkbox"/> Yes 是
You are now related to an employee of CMBI Group. 你現在為招銀國際集團雇員的親屬	<input type="checkbox"/> Yes 是 Name of staff 雇員姓名: _____ Relationship 關係: _____
Your spouse is now a margin client of CMBIS. 你的配偶是招銀國際證券的保證金客戶	<input type="checkbox"/> Yes 是 Account Name 帳戶名稱: _____ Account No. 帳戶號碼: _____
You, either alone or with your spouse, in control of 35% or more of the voting rights of any margin account of CMBIS 你單獨或與你的配偶共同控制任何招銀國際證券保證金帳戶35%或以上投票權。	<input type="checkbox"/> Yes 是 Account Name 帳戶名稱: _____ Account No. 帳戶號碼: _____
You are now a U.S. citizen or a U.S. tax resident. 你現在為美國公民或稅務目的而言的居民	<input type="checkbox"/> Yes 是 Please provide a Form W-9 Form. 請提供W-9表格。

## Withdrawal from being treated as a Professional Investor 撤回被視為專業投資者

- I request to withdraw from being treated as a Professional Investor. 本人/我等撤回被視為「專業投資者」資格。

## Securities Trading Services 證券交易服務

- (1) Addition of Types of Account 新增帳戶類型\* (Please also select Trading Markets 請同時選擇以下交易市場)

- Cash Account 現金帳戶  
 Margin Account 保證金帳戶  
 CIES Account 投資移民帳戶  
 HK Stock Options Account 香港股票期權帳戶  
 US Stock Options Account 美國股票期權帳戶<sup>5</sup>  
(a Cash / Margin Account with US Stocks Market must be maintained at the same time 必須同時持有一個證券/保證金帳戶並開通美國市場)  
 Non-Hong Kong Futures Exchange Account 非香港期交所帳戶  
(a Hong Kong Futures Exchange Account must be maintained at the same time 必須同時持有香港期交所帳戶)

- (2) Addition of Sub-Account 新增子帳戶\*

- Agree that sub account setting(s) is/are the same as main account, including but not limited to trading market, authorized persons of account etc 同意子帳戶設定與主帳戶相同, 包括但不限於交易市場, 帳戶授權人士等  
 Request to have different sub account setting(s) from the main account. Please specify setting requirements in "Other" 要求子帳戶設定與主帳戶不一樣, 請在"其他"中註明設定要求

Main Account No. 主帳戶號碼: \_\_\_\_\_

Reason of sub account opening 子帳戶開戶原因:

- Asset allocation for easy management 資產分配方便管理  
 Account operated by External Asset Manager ("EAM")# 由外部資產管理人操作之帳戶#  
 Sub-Fund Account 子基金帳戶  
 Others 其他: \_\_\_\_\_

- (3) Trading Markets 交易市場

- |                                    |   |   |
|------------------------------------|---|---|
| <input type="checkbox"/> Add 新增    | <input type="checkbox"/> US Stocks 美國股票         | <input type="checkbox"/> Shanghai-Hong Kong Stock Connect 滬港通 <sup>6</sup> (Not applicable to Mainland Investors 不適用於內地投資者) |
| <input type="checkbox"/> Delete 刪除 | <input type="checkbox"/> German Stocks 德國股票     | <input type="checkbox"/> Shenzhen-Hong Kong Stock Connect 深港通 <sup>6</sup> (Not applicable to Mainland Investors 不適用於內地投資者) |
|                                    | <input type="checkbox"/> Swedish Stocks 瑞典股票    | <input type="checkbox"/> Fund, Bonds & OTC Derivatives Products 基金, 債券及場外衍生產品 <sup>7</sup>                                  |
|                                    | <input type="checkbox"/> Shanghai B-shares 上海B股 | <input type="checkbox"/> Other Stocks markets, please specify 其他股票市場, 請注明:<br>_____   |
|                                    | <input type="checkbox"/> Shenzhen B-shares 深圳B股 |   |
|                                    | <input type="checkbox"/> Japanese Stocks 日本股票   |   |

## Other 其他

<sup>5</sup> Please complete the [Client Consent on the US Stock Options Transaction]. 請簽署[關美國股票期權市場交易客戶同意書]

<sup>6</sup> Please complete the [Client Consent on The Northbound Investor ID Model and The Personal Information Collection Statement concerning Northbound China Connect Orders] 請簽署 [ 客戶同意書有關「北向交易投資者識別字模式」及有關中華通北向交易委託的個人資料收集聲明 ]

<sup>7</sup> Please complete the [Derivatives Knowledge Assessment Form] and [Client's Risk Profile Questionnaire]. 請填寫[衍生工具知識評估問卷]及[客戶風險取向評估問卷]。

\*Applicable to additional account(s) opening and sub account(s) opening \*適用於加開帳戶及加開子帳戶

- I/We, the undersigned Client, acknowledge and confirm that I/we have read and understood and accepted the provisions of the CMBI's Account 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.  
本人/吾等為下述簽署客戶已閱讀過、明白及接受貴公司提供的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。

#Applicable to account managed under External Asset Manager ( "EAM" ) Model #適用於以外部資產管理人模式運作帳戶

- I/We understand and agree that CMBI International Securities Limited ( "CMBIS" ) only acts as an execution broker and provides execution services to me/us by executing the orders placed by my/our designated Asset Manager (the "AM" ) on behalf of me/us.  
本人/吾等清楚明白且同意招銀國際證券將以執行買賣盤的經紀身分行事，並透過執行本人/吾等所委託的資產管理公司代表本人/吾等發出的買賣盤指示，向本人/吾等提供執行買賣盤服務。
1. CMBIS merely provides order execution and custody services to me/us and has no day-to-day contact or direct communication with me/us.  
招銀國際證券作為執行買賣盤的經紀僅向本人/吾等提供買賣盤執行和託管服務，日常不會與本人/吾等聯絡或直接溝通。  
CMBI does not do any of the followings (including but not limited to) 招銀國際證券不會執行以下任何一項工作(包括但不限於)：
    - advises on my/our trades 就本人/吾等的買賣提供建議；
    - manages my/our investment portfolio, and 管理本人/吾等的投資組合；及
    - handles my/our enquiries on complex products or my/our requests to trade complex products etc. 處理本人/吾等就複雜產品所作出的查詢或買賣複雜產品的要求等。
  2. CMBIS has agreed in writing with the AM that 招銀國際證券已與本人/吾等所委託的資產管理公司就以下事項達成書面協議：
    - i. in respect of the AM which is a regulated entity in the overseas jurisdiction, the AM is responsible for complying with the applicable requirements of the overseas jurisdiction before transmitting my/our order to be executed 若本人/吾等所委託的資產管理公司為海外司法管轄區的受規管實體，該資產管理公司在傳送有待執行的本人/吾等買賣盤前，有責任遵從海外司法管轄區的適用規定；或
    - ii. in respect of the AM which is licensed by or registered with the SFC, the AM is responsible for ensuring the suitability of a transaction in a complex product for me/us and providing sufficient product information and warning statements in respect of the complex product to me/us before transmitting my/our order to be executed 若本人/吾等所委託的資產管理公司為獲證監會發牌或在證監會註冊的資產管理公司，該資產管理公司在傳送有待執行的本人/吾等買賣盤前，有責任確保就某複雜產品進行的交易適合本人/吾等，並就該複雜產品向本人/吾等提供充足的產品資料和警告聲明；and 及
    - iii. CMBI is not responsible for ensuring suitability of the order transmitted by the AM or providing product information and warning statements to me/us 招銀國際證券不負責確保該資產管理公司所傳送的買賣盤的合適性，或向本人/吾等提供產品資料和警告聲明。

I/We confirm that all the information provided in or otherwise in connection with this form is, and in respect of any information provided hereafter, shall be, at the time of provision, true, accurate, complete and up-to-date and in compliance with all applicable legal and regulatory requirements.  
本人/我等確認本人/我等現時及其後於此表格或與其有關所提供之資料皆為真實、準確、完整、最新及遵從所有適用的法律和監管要求。

I/We agree that CMBI shall not be held responsible for any delay or failure in effecting my/our above instruction where such delay or failure is attributable (whether directly or indirectly) to any cause beyond CMBI's control and under no circumstances shall CMBI be responsible to me/us for any consequential or indirect losses arising out of or in connection with its carrying out or otherwise of my/our above instruction.  
本人/我等明白當招銀國際執行本人以上的指示時，若遇到任何非招銀國際所控制的情況而（直接或間接）無法執行該指示，招銀國際毋須負責。另外，因執行或不能執行本人/我等上述的指示而引致的任何相應或間接的損失，招銀國際毋須對本人/我等負責。

Signature 簽署

Date 日期

**For Internal Use only**

Requested by BU	Approved BU - RO (if applicable)	Approved by Compliance (if applicable)	S.V. by Operations	Input by Operations (Maker)	Checked by Operations (Checker)
BU & RM / AE Name:	Name:	Name:	Name:	Name:	Name:
Date:	Date:	Date:	Date:	Date:	Date: