

CMB International Futures Limited (“CMBIF”)

招銀國際期貨有限公司(“招銀期貨”)

Account No.賬號:	Effective Date 戶口生效日:	Name of AE 客戶主任:
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CLIENT INFORMATION FORM 客戶資料表格

Please read the Client Account Agreement – Futures before you sign this form 請在簽署本表格前仔細閱讀期貨客戶協議書及相關的文件

1. Account Type 帳戶類別

☐ Futures Account 期貨帳戶

2. Personal Information 個人資料

<input type="checkbox"/> Mr. 先生	Name in English 英文姓名:	ID/ Passport No.身份證/護照號碼:
<input type="checkbox"/> Miss. 小姐	Name in Chinese 中文姓名:	Issuing country 簽發地:
<input type="checkbox"/> Mrs. 夫人	Date of birth 出生日期:	Nationality 國籍:
Education level 教育程度: <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Post-secondary 大專 <input type="checkbox"/> Degree holder or above 大學或以上		
Residential address 住宅地址:		
Business address 辦公室地址:		
E-mail address 電子郵箱:		Mobile 手提電話:
Tel. No.住宅電話:	Tel. No. (Office) 辦公室電話:	Fax No. (Office) 辦公室傳真:
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): <input type="checkbox"/> E-mail address 電子郵箱(推薦) <input type="checkbox"/> Residential address 住宅地址 <input type="checkbox"/> Business address 辦公室地址 <input type="checkbox"/> Others 其它: _____		
如選以電子郵箱收件, 請同時簽署後部“客戶同意書(電子通訊)”部份 if select by E-mail, please also sign on Client's Consent (Electronic Communication)		
Hong Kong banking Accounts (bank accounts under client name) 香港銀行資料記錄 (只用于客戶本人同名的香港銀行帳戶存款) Name of Bank 銀行名稱/ Account No.戶口號碼 1: _____/ Name of Bank 銀行名稱/ Account No.戶口號碼 2: _____/		

3. Electronic Service Application 電子服務申請

<input type="checkbox"/> 香港指數期貨交易 Hong Kong Index Futures <input type="checkbox"/> 外國商品期貨交易 Foreign commodities futures trading (Client account code and password receive method, please choose one only) (帳戶號碼及密碼, 可選擇以下一種方式收取) <input type="checkbox"/> E-mail address 電郵地址: _____ <input type="checkbox"/> Mailing address 郵寄地址: _____
Do you require internet trading services 您是否需要開通銀證轉帳服務? <input type="checkbox"/> No 否。 <input type="checkbox"/> Yes 是, Information of Designed Transfer Banking Account:指定轉帳銀行帳戶資料: Bank Name 銀行名稱: <u>China Merchants Bank Hong Kong Branch 招商銀行香港分行</u> Account Number 銀行帳號號碼: _____

4. Financial Information 財務資料簡要

Name of employee 雇主名稱：	Nature of business 行業：	Position 職位：	Years of service 服務年數：
Annual income 每年總收入： <input type="checkbox"/> below \$200,000 或以下 <input type="checkbox"/> \$200,001 to 至 \$500,000 <input type="checkbox"/> \$500,001 to 至 \$1,000,000 <input type="checkbox"/> \$1,000,001 or above 或更多			
Total Asset 資產淨值：_____			
Residential Status 住屋： <input type="checkbox"/> Owned Property 自置物業 <input type="checkbox"/> Mortgaged 按揭物業 <input type="checkbox"/> Rented 租用物業 <input type="checkbox"/> Quarters 宿舍 <input type="checkbox"/> Others 其它：_____			

5. Investment Experience and Objective 投資經驗及目的

Investment Experience 投資經驗： <input type="checkbox"/> Nil 沒有 <input type="checkbox"/> Yes 有， Years of Experience 年資 _____
Investment Category 投資種類： <input type="checkbox"/> Hong Kong index futures 香港指數期貨 <input type="checkbox"/> Hong Kong index options 香港指數期權 <input type="checkbox"/> Foreign Futures 外國期貨 <input type="checkbox"/> Foreign Options 外國期權 <input type="checkbox"/> Others 其它 _____
Investment Objective 投資目的： <input type="checkbox"/> Preservation 保值 <input type="checkbox"/> Arbitrage 套戥 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Others 其它 _____

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

Are you the ultimate beneficial owners on this Account 閣下是否此帳戶的最終受益人？ <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是，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/ Issuing country 身份證/護照/簽發地：_____/_____
Tel. No. 電話：_____	Address 地址：_____

7. 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)

就此帳戶進行交易的最終負責發出指示人士的身份 (若與帳戶最終權益擁有人相同，則不用填寫此欄)

Name 姓名：_____	ID/ Passport/ Issuing country 身份證/護照/簽發地：_____/_____
Tel. No. 電話：_____	Address 地址：_____
Please complete the following form and provide the identity documents of the authorized person“如填寫此欄，需另外填寫“ 《授權第三者操作帳戶授權書》 ”表格，而且要提供被授權人的身份證明檔。	

8. Disclosure of Identity 相關身份披露

i) Is Client a director or an employee of a person registered or licensed with HK Securities and Futures Commission? 閣下，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？ <input type="checkbox"/> No 不是。 <input type="checkbox"/> Yes 是，Name/CE No. 持牌或註冊人名稱/中央編號：_____/_____
ii) Are you an employee of China Merchants Bank 閣下是否招商銀行的雇員？ <input type="checkbox"/> No 不是。 <input type="checkbox"/> Yes 是。
iii) Are you an employee of CMBI Group 閣下是否招銀國際集團的雇員？ <input type="checkbox"/> No 不是。 <input type="checkbox"/> Yes 是。
iv) Are you related to any employee of CMBI Group 閣下是否招銀國際集團雇員的親屬？ <input type="checkbox"/> No 不是。 <input type="checkbox"/> Yes 是， Name and relation 雇員姓名及關係_____

9. Acknowledgement by Client 聲明

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 Futures 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.

本人在此確認在客戶資料表格所提供的資料全部為真實、完整和正確，以及附上的協議中的陳述均屬準確。除非招銀國際接到更改有關本資料表格內容的書面通知，否則招銀國際可完全依賴這些資料及陳述做一切用途。客戶授權招銀國際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。

I/We, the undersigned Client, acknowledge and confirm that I/We have read and understood and accepted the provisions of the Client Account Agreement - Futures, 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 - Futures 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.

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期貨客戶協議書（該協議書）（內含風險披露聲明）及個人資料收集聲明書，並已獲展示期貨客戶協議書內中英文本的風險披露聲明及獲以下職員按照本人/吾等所選擇的語言解釋明白；及已獲邀閱讀該風險披露聲明、提出問題及徵求獨立的意見（如本人/吾等有此意願）。（該客戶簽署式樣將被用作核證任何就帳戶運作之書面指示）

X _____

Signature 客戶簽名

Name 客戶姓名

Date 日期

10. Witness 見證人

Witness 見證人的見證： I, the undersigned, have witnessed the signature and inspected the original identity document of the above-named client 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。

Witness Signature 見證人簽署： _____ X **Date 日期：** _____

Name of Witness 見證人姓名： _____ **Occupation 見證人職業：** _____

Address 見證人地址： _____

11. 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 and Date**

職員/持牌代表簽署及日期： _____ X

12. 招銀國際接納及授權代表簽署

授權簽署/公司印章

注意：本客戶資料表需附上：1, 有效身份證，護照或通行證副本；2, 現居住地址證明，如最近3個月的水電費單、銀行結單。

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

I/We the undersigned client, 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，以下簽署之客戶，謹此同意貴公司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位址寄發成交單據，交易確認檔及其它通訊（該等通訊）。

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 Client Account Agreement - Futures 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. 本人/吾等確認及接受通過電子通訊的風險，包括但不限於載於現金/保證金客戶協議書中所列的風險，並同意及承諾免除貴公司因貴公司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、付款要、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貴公司有關本人/吾等電子郵箱位址的變更。假若貴公司寄發電子帳單後連續兩次收到錯誤之通訊，貴公司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同，客戶同意以英文本為準。貴公司已向本人/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。

(内部専用)

介紹人資料			
<input type="checkbox"/> 行外	介紹人姓名：	_____	聯繫電話：_____ 備註：_____
<input type="checkbox"/> 行內	介紹人(姓名/員工編號)	_____/_____	
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_____			
<input type="checkbox"/> 期貨	<input type="checkbox"/> 個人帳戶	<input type="checkbox"/> 聯名帳戶	<input type="checkbox"/> 網上交易 <input type="checkbox"/> 銀證轉帳
帳號：			
經紀號碼：		傭金：	息率：
檔案覆核／日期：			其它資料：
資料輸入/日期:			
資料查核/日期:		密碼/日期:	
保證金限額：			
單項交易限額		累積交易限額:	
批准／日期			