

招銀國際證券有限公司(“招銀國際證券”)

CMB International Securities Limited (“CMBIS”)

Account Opening

Agreement-Individual

開戶協議-個人

招銀國際證券有限公司 (AUZ441)
香港中環花園道 3 號
冠君大廈 45 樓
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3 Garden Road, Central, Hong Kong
傳真 Fax: (852) 3761-8788



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/保證金客戶協議書、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. KNOWLEDGE OF VIRTUAL ASSETS ASSESSMENT
虛擬資產知識認知評估
5. COMMON REPORTING STANDARD (CRS) - SELF DECLARATION FORM-INDIVIDUAL
共同申報準則- 自我證明表格 – 個人
6. APPOINTMENT OF PROCESS AGENT (If Applicable)
法律文件接收人委任書 (如適用)
7. Client Consent on the Hong Kong Investor Identification Regime (HKIDR) and the Personal Information Collection Statement on the Over-the-counter Securities Transaction Reporting Regime (OTCR)
客戶同意書有關香港投資者識別碼制度及場外證券交易彙報制度下的個人資料收集聲明
8. Client Consent on The Northbound Investor ID Model and The Personal Information Collection Statement concerning Northbound China Connect Orders
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
9. Customer Consent to Use of Information
客戶資料使用同意書
10. ACKNOWLEDGEMENT BY CLIENT
客戶聲明

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

Account Type 帳戶類別

- 1. Cash Account 現金帳戶
- 2. Margin Account 保證金帳戶
- 3. CIES Account 投資移民帳戶
- 4. Stock Options Account 香港股票期權帳戶
- 5. ESOP Account 股權激勵帳戶
- 6. US Stock Options Account 美國股票期權帳戶 (Client must open a Cash Account/ Margin Account 客戶必須開立一個證券/保證金帳戶)
- 7. Account with External Asset Manager ("EAM") 由外部資產管理人運作帳戶(註 1)
 - Cash Account 現金帳戶
 - Margin Account 保證金帳戶

註 1: The External Asset Manager includes CMB International Asset Management Limited. [Part 2-Client Investment Risk Profile Questionnaire-Individual], [Part 3-Derivatives Knowledge Assessment] and [Part 4-Knowledge of Virtual Assets Assessment] are not applicable to EAM account, 外部資產管理人包括招銀國際資產管理有限公司。 [第二部份、客戶投資風險取向分析問卷-個人]、[第三部份、衍生工具知識評估]及[第四部份、虛擬資產知識認知評估]並不適用於由外部資產管理人運作帳戶。

Identity of Client 客戶身份

- 1. Individual Account 個人帳戶
- 2. Joint Account 聯名帳戶(註 2)

註 2: Joint account holders can only be the account holder' s family member includes parent, spouse, child, sibling and a partner living in the same household (requires proof of relationship). 聯名帳戶持有人只能是帳戶持有人的直系親屬包括父母、夫妻、子女、兄弟姊妹、和與帳戶持有人同住之伴侶(必須提供關係證明文件)。

Securities Service 證券服務

Hong Kong Stocks 港股 and 及

- US Stocks 美國股票
 - Shanghai-Hong Kong Stock Connect 滬港通(註 3) (Not applicable to Mainland Investors 不適用於內地投資者)
 - Shenzhen-Hong Kong Stock Connect 深港通(註 3) (Not applicable to Mainland Investors 不適用於內地投資者)
 - Bonds, Funds and Others Over the counter Derivatives 債券、基金及其他場外衍生產品
- Other Stocks markets (Please refer to our official website) 其他股票市場 (請參閱我司官方網頁) :

I/We agree to register all existing trading channels to conduct the selected securities services above. I/We have read and agreed to the terms and conditions. The Client account code and password will be sent to my/our registered email. 本人/吾等同意登記現行所有交易渠道以辦理上述所選的證券服務。本人/吾等已閱讀並同意相關的條款及細則。帳戶號碼及密碼將發送至本人/吾等登記之電郵地址。

註 3: Please complete [Part 8- Client Consent on The Northbound Investor ID Model and The Personal Information Collection Statement concerning Northbound China Connect Orders] 請簽署 [第八部份、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]

Client Information 客戶資料

		Account Holder 帳戶持有人(A)	Account Holder 帳戶持有人(B)
		<input type="checkbox"/> Mr 先生 <input type="checkbox"/> Ms 女士 <input type="checkbox"/> Mrs 太太	<input type="checkbox"/> Mr 先生 <input type="checkbox"/> Ms 女士 <input type="checkbox"/> Mrs 太太
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	名字		
	姓氏		

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。

Hong Kong Identity Card (HKID) 香港身份證	ID Card Type 身份證類別	<input type="checkbox"/> HK Permanent ID card 香港永久性居民身份證 <input type="checkbox"/> HKID Card 香港居民身份證(註4)	<input type="checkbox"/> HK Permanent ID card 香港永久性居民身份證 <input type="checkbox"/> HKID Card 香港居民身份證(註4)
	ID Card No. 身份證號碼		
	Place of Issue 簽發地		

註4: Please provide your PRCID Card or passport to prove your nationality. 請提供你的國民身分證或護照以證明國籍。

I confirm that I am not a holder of HKID Card. 本人確認本人並非香港身份證持有人。

PRCID Card 中華人民共和國 居民身份證	PRCID No. 身份證號碼		
	Place of Issue 簽發地		
	Expiry Date 到期日 (dd/mm/yyyy)		
Other National Identity Card 其他國居民身份證	ID Card No. 身份證號碼		
	Place of Issue 簽發地		
	Expiry Date 到期日 (dd/mm/yyyy)		

I confirm that I am not a holder of HKID card and other National Identity Card. 本人確認本人並非香港身份證和其他國民身份證持有人。

Passport 護照	Passport No. 護照號碼		
	Place of Issue 簽發地		
	Expiry Date 到期日 (dd/mm/yyyy)		

I understand and have full knowledge of the waterfall of the acceptable client identity documents under the HKIDR and OTCR. 本人理解並充分掌握在香港投資者識別碼制度及場外證券交易匯報制度可接受的身分證明文件排序表。

If there is any update in the details on the identity document, I will inform CMBIS promptly and provide CMBIS with the relevant Identity document. 若本人的身分證明文件信息有更新，本人會立即知會招銀國際證券並提供相關身分證明文件。

	Account Holder 帳戶持有人(A)	Account Holder 帳戶持有人(B)
Date of Birth (dd/mm/yyyy) 出生日期		
Place of Birth 出生地點		
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)	<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)
Purpose of Account Opening 開戶目的	<input type="checkbox"/> Investment 投資 <input type="checkbox"/> ESOP 股權激勵 <input type="checkbox"/> Others, please specify 其他·請註明	<input type="checkbox"/> Investment 投資 <input type="checkbox"/> ESOP 股權激勵 <input type="checkbox"/> Others, please specify 其他·請註明
Monthly Expected Investment Amount in CMBIS 每月預計於招銀國際證券的投資金額 The expected investment amount includes the aggregate net investment value in securities, fund, bond, stock option contracted value and etc. 預計投資金額包括證 券·基金·債券·股票期權合約價值等的總投資淨值。	<input type="checkbox"/> below \$100,000 或以下 <input type="checkbox"/> \$100,001 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	<input type="checkbox"/> below \$100,000 或以下 <input type="checkbox"/> \$100,001 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
U.S. citizen or a U.S. tax resident 美國公民或就稅務目的而言的居民	<input type="checkbox"/> Yes, and I confirm that 是·本人確認 (i) I am not residing inside the United States and that all instructions will be given and all transactions will occur outside the United States; and 本人並不居住於美國及所有帳 戶指令不會在美國境內發出；及 (ii) I will not trade US stocks or in the US markets through CMBIS. 本人 不會交易美股或透過招銀國際證券在 美國證券市場進行交易。 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes, and I confirm that 是·本人確認 (i) I am not residing inside the United States and that all instructions will be given and all transactions will occur outside the United States; and 本人並不居住於美國及所有帳 戶指令不會在美國境內發出；及 (ii) I will not trade US stocks or in the US markets through CMBIS. 本人 不會交易美股或透過招銀國際證券在 美國證券市場進行交易。 <input type="checkbox"/> No 否

	Account Holder 帳戶持有人(A)	Account Holder 帳戶持有人(B)
Residential Address 住宅地址		<input type="checkbox"/> Same as Account Holder (A) 與帳戶持有人(A)相同 <input type="checkbox"/> Others, please specify 其他·請註明
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)		<input type="checkbox"/> Same as Account Holder (A) 與帳戶持有人(A)相同 <input type="checkbox"/> Others, please specify 其他·請註明
If a HK Address (non-PO BOX) cannot be provided, please complete [Part 6-Appointment of Process Agent]. 如未能提供香港地址(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, 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. (Residential) 住宅電話 +Country Code-Area Code-Phone No. +國家代碼-地區代碼-電話號碼		<input type="checkbox"/> Same as Account Holder (A) 與帳戶持有人(A)相同 <input type="checkbox"/> Others, please specify 其他·請註明
Mobile No. 手提電話 +Country Code-Area Code-Phone No. +國家代碼-地區代碼-電話號碼	1*	1
	2	2
*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證的一次性密碼。		
Tel. No. (Office) 辦公室電話 +Country Code-Area Code-Phone No. +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		
Please note that your personal particulars in all your trading accounts maintained with CMBI Group will be updated with the information provided in the latest account opening form. 您在招銀國際集團持有的所有交易帳戶中的個人資料將根據最新開戶表格中所提供的資訊進行更新。		

Financial Information 財務資料簡要

	Account Holder 帳戶持有人(A)	Account Holder 帳戶持有人(B)
Employment Status/ Position 就業狀況/職位	<input type="checkbox"/> Employed 受僱 <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 辦公室文員 <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 自僱/Freelancer 自由職業者(註5) <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 <input type="checkbox"/> Others 其他	<input type="checkbox"/> Employed 受僱 <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 辦公室文員 <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 自僱/Freelancer 自由職業者(註5) <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 <input type="checkbox"/> Others 其他
Name of Employer 僱主名稱		
Industry 行業		
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	<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 Funds 資金來源	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Income Accumulation 收入累積/ Business Income 生意收入 <input type="checkbox"/> Return on Investment 投資收益 <input type="checkbox"/> Others, please specify 其他·請註明	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Income Accumulation 收入累積/ Business Income 生意收入 <input type="checkbox"/> Return on Investment 投資收益 <input type="checkbox"/> Others, please specify 其他·請註明
註5: Please provide information of self-employed business nature 請提供自僱業務性質的資料		

	Account Holder 帳戶持有人(A)	Account Holder 帳戶持有人(B)
Source of Wealth 財富來源	<input type="checkbox"/> Salary and/or Bonus 受僱薪金或花紅 <input type="checkbox"/> Investment/Saving 投資/儲蓄 <input type="checkbox"/> Sale of Property/Investment or Assets 售賣物業或資產 <input type="checkbox"/> Others, please specify 其他·請註明	<input type="checkbox"/> Salary and/or Bonus 受僱薪金或花紅 <input type="checkbox"/> Investment/Saving 投資/儲蓄 <input type="checkbox"/> Sale of Property/Investment or Assets 售賣物業或資產 <input type="checkbox"/> Others, please specify 其他·請註明
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"/> \$100,001 to 至 \$500,000 <input type="checkbox"/> \$500,001 to 至 \$1,000,000 <input type="checkbox"/> \$1,000,001 or above 或以上	<input type="checkbox"/> below \$100,000 或以下 <input type="checkbox"/> \$100,001 to 至 \$500,000 <input type="checkbox"/> \$500,001 to 至 \$1,000,000 <input type="checkbox"/> \$1,000,001 or above 或以上
Net worth Held (HKD) ('Total Assets' minus 'Total Liabilities', excluding the value of your self-occupied property) 淨資產 (港元) (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"/> \$5,000,001 to 至 \$10,000,000 <input type="checkbox"/> \$10,000,001 to 至 \$50,000,000 <input type="checkbox"/> \$50,000,001 or above 或以上	<input type="checkbox"/> below \$5,000,000 或以下 <input type="checkbox"/> \$5,000,001 to 至 \$10,000,000 <input type="checkbox"/> \$10,000,001 to 至 \$50,000,000 <input type="checkbox"/> \$50,000,001 or above 或以上

Simplified Investment Objective and Experience Questionnaire 簡易投資目標及經驗問卷

Please skip this questionnaire and complete [Part 2-Client Investment Risk Profile Questionnaire-Individual] if you have opted for the securities service of trading Bonds, Funds and Others Over the counter Derivatives. 如閣下選擇開立債券、基金及其他場外衍生產品買賣服務·請跳過此問卷並完成 [第二部份·客戶投資風險取向分析問卷-個人]

Investment Objective 投資目標	<input type="checkbox"/> Capital Preservation 保本為主 <input type="checkbox"/> Income Oriented 收入主導 <input type="checkbox"/> Income-and-Growth 收入及增長 <input type="checkbox"/> Growth Oriented 增長主導 <input type="checkbox"/> Aggressive Growth 積極增長	<input type="checkbox"/> Capital Preservation 保本為主 <input type="checkbox"/> Income Oriented 收入主導 <input type="checkbox"/> Income-and-Growth 收入及增長 <input type="checkbox"/> Growth Oriented 增長主導 <input type="checkbox"/> Aggressive Growth 積極增長
No. of years of experience you have in investment (such as Mandatory Provident Fund, foreign currency, shares, futures, derivatives, funds and bonds) 投資經驗 (年) (如強積金、外幣、股票、期貨、衍生工具、基金及債券)	<input type="checkbox"/> No experience 無經驗 <input type="checkbox"/> Not more than 1 year 不超過 1 年 <input type="checkbox"/> Not more than 3 years 不超過 3 年 <input type="checkbox"/> Not more than 5 years 不超過 5 年 <input type="checkbox"/> More than 5 years 超過 5 年	<input type="checkbox"/> No experience 無經驗 <input type="checkbox"/> Not more than 1 year 不超過 1 年 <input type="checkbox"/> Not more than 3 years 不超過 3 年 <input type="checkbox"/> Not more than 5 years 不超過 5 年 <input type="checkbox"/> More than 5 years 超過 5 年
Types of product(s) you have previously invested (more than 1 answer can be selected) 曾投資過的產品 (可選擇多於一項)	<input type="checkbox"/> None 沒有 <input type="checkbox"/> Shares 股票 <input type="checkbox"/> Futures 期貨 <input type="checkbox"/> Derivatives 衍生工具 <input type="checkbox"/> CD 存款證/Bonds 債券 <input type="checkbox"/> Funds 基金/MPF 強積金 <input type="checkbox"/> Others, please specify 其他·請註明	<input type="checkbox"/> None 沒有 <input type="checkbox"/> Shares 股票 <input type="checkbox"/> Futures 期貨 <input type="checkbox"/> Derivatives 衍生工具 <input type="checkbox"/> CD 存款證/Bonds 債券 <input type="checkbox"/> Funds 基金/MPF 強積金 <input type="checkbox"/> Others, please specify 其他·請註明

Disclosure of Identity 相關身份披露

	Account Holder 帳戶持有人(A)	Account Holder 帳戶持有人(B)
Are you a director or an employee of a person registered or licensed with HK Securities and Futures Commission? 你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"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Are you an employee of China Merchants Bank? 你是否招商銀行的僱員?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Are you an employee of CMBI Group? 你是否招銀國際集團的僱員?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Are you related to any employee of CMBI Group? 你是否招銀國際集團僱員的親屬?	<input type="checkbox"/> Yes 是 Name of staff 僱員姓名: Relationship 關係: <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 Name of staff 僱員姓名: Relationship 關係: <input type="checkbox"/> No 否
Is your spouse a margin client of CMBIS? 你的配偶是否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: <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 Account Name 帳戶名稱: Account No. 帳戶號碼: <input type="checkbox"/> No 否
Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any margin account of CMBIS? 你是否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: <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 Account Name 帳戶名稱: Account No. 帳戶號碼: <input type="checkbox"/> No 否

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 (只限於客戶本人同名香港銀行帳戶存款)

Details of Bank Account (1) 銀行帳戶 (1) 資料			
Name of Bank 銀行名稱		Bank Code 銀行編號	
SWIFT Code 國際銀行代碼			
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		Bank Code 銀行編號	
SWIFT Code 國際銀行代碼			
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)		

Method of Communication 通訊方法

Trade Confirmation & Statements & Notices

交易確認及結單單據

- (i) Online Access Service 線上取覽服務
 (ii) Designated E-mail address 指定電子郵箱
 (iii) Physical mail 郵箱(註 6)

If select by (i) Online Access Service and/or (ii) Designated E-mail address, please read and agree the [Client' s Consent-Electronic Communication] below 如選以(i)線上取覽服務及/或(ii)指定電子郵箱收件,請閱讀及同意以下 [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

I/We the undersigned client, hereby consent to CMB International Securities Limited (CMBIS) providing all notices, statements, trade confirmations and other communications (the "Communications") to me/us through (i)online access service and/or to my/our (ii)designated E-mail Address as specified (the "electronic communication") and I/We hereby request, instruct and authorize CMBIS to transmit, release and send all Communications to me/us through the electron communication. I/We understand and accept the following arrangements 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 (招銀國際證券) 通過(i)線上取覽服務及/或本人 / 吾等所(ii)指定電子郵箱 (電子通訊) 寄發成交單據及其它通訊 (該等通訊) 。本人/吾等明白及接受以下安排 :

- I/We must have the appropriate hardware and software, internet access and a specific email address, mobile phone number or other electronic address designated by me/us for receiving email, SMS or other electronic notifications from CMBIS for using the Access Service and/or electronic communication 本人/吾等已配備適當的設備和軟件、接達互聯網、及提供和指定一個特定的電郵地址、流動電話號碼或其他電子地址、以接收招銀國際證券發送的電郵、短訊或其他電子通知、方可使用電子通訊；
- I/We acknowledge and accept that Internet, email, SMS and other electronic information services may be subject to certain IT risks and disruption, including but not limited to the risks as set out in the Account 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 the Access Service and/or electronic communication 本人/吾等明白且接受互聯網、電郵、短訊及其他電子資訊服務可能涉及某些資訊科技風險及出現中斷、包括但不限於載於帳戶協議及其他相關文件及條款中所列的風險、並同意及承諾免除招銀國際證券因招銀國際證券通過電子通訊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；
- Revocation of consent to the Access Service and/or electronic communication will be subject to the giving of such advance notice by me/us through such methods as specified by CMBIS 本人/吾等如撤銷對電子通訊的同意、將透過銀國際證券所指明的方法給予事先通知；
- I/We acknowledge and agree to pay a reasonable charge for 本人/吾等知悉及同意在以下情況或須繳付費用：
 - obtaining a copy of any trade document that is no longer available for access and download through CMBIS' s electronic trading platform 取得不可再透過招銀國際證券電子交易平台取覽及下載的任何交易文件的副本； or 或
 - requesting CMBIS to provide trade documents to me/us, in addition to the request for the electronic communication, by other means 除了要求使用電子通訊外、還要求銀國際證券以其他方式向本人/吾等提供交易文件；
- In order to avoid missing notifications, I/we undertake to inform CMBIS as soon as practicable upon a change in the designated email address, mobile phone number or other electronic address 本人/吾等如更改指定的電郵地址、流動電話號碼或其他電子地址、需在切實可行的範圍內盡快告知招銀國際證券、以避免未能收取通知；
- I/We understand I/We can only choose either receiving the Account statement via (ii) designated email address or (iii) physical mail. Once choosing the (ii) designated email address, I/We will not receive physical contract note and physical account statement by mail 本人/吾等明白本人/吾等只可從(ii) 指定電子郵箱或(iii)郵寄選擇其一、一經選用(ii) 指定電子郵箱、本人/吾等將不會收到郵寄之成交單及月結單；
- If CMBIS got two successive messages in relation to failure of sending the notification and/or statement to my/our designated email address electronically, CMBIS has the right to send the statement to me/us via physical mail instead 假若招銀國際證券寄發通知及/或電子帳單至本人/吾等指定電子郵箱後連續兩次收到錯誤之通訊、招銀國際證券可選擇以郵寄形式取代電子通訊；
- In the event of any difference in interpretation or meaning between the English and Chinese version of this Consent, I/We agree that the English version shall prevail 如本同意書中、英文本之解釋或意思有不相同、本人/吾等同意以英文本為準。

CMBIS has explained to me/us, and I/we acknowledge and agree to, the content of this consent 招銀國際證券已向本人/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。

註 6: 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。詳情請見官網上的收費表。

Ultimate Beneficial Owner 帳戶最終權益擁有人身份

Are you the ultimate beneficial owner(s) of this Account?

你是否此帳戶的最終受益人？

- Yes 是
 No, 否

(Please discontinue your account application and seek advice from your CMBIS account executive 請暫停進行帳戶申請、並諮詢你的招銀國際證券客戶經理)



Part 2- Client Investment Risk Profile Questionnaire (Individual)

第二部份-客戶投資風險取向分析問卷 (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 (「招銀國際證券」) 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，招銀國際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，招銀國際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，您在招銀國際證券之內及以外的所有資產及交易均應計算在內。

4. The results of this questionnaire are derived from the information you provide to us and are built upon the assumptions that an appropriate risk level will depend on your investment objective, investment horizon, liquidity needs, investment knowledge and experience, attitude towards risk and return expectation. The investment risk profile is divided into 1 to 5 levels where the investment products involving higher risk are only suitable for those customers with higher risk appetite. The questionnaire design and scoring methods are based on the findings from empirical research. Your answers have material impact on the indicative result of this questionnaire. You must provide information that is valid, true, complete, accurate and updated where your failure in doing so would materially affect the accuracy and reliability of our suitability assessment.

本問卷的結果乃根據您提供予招銀國際證券的資料而得出，問卷內容是基於以下假設：您適宜的風險水平將取決於您的投資目標、投資期限、流動性需要、投資知識及經驗、對風險的取向和預期回報的看法。投資風險取向評級分為 1 至 5 級，其中較高風險的投資產品僅適合於投資風險取向較高的客戶。問卷設計和評分方法乃是根據實證研究的結果。您的答案對本問卷的指示性結果有重大影響。請您務必提供有效、真實、完整、準確及最新的資料。如您未能提供該等資料將會對招銀國際證券的合適性評估之準確性及可信性產生重大影響。

5. All information obtained in this questionnaire will be used and kept confidential in accordance with CMBIS' s Personal Data Protection Statement.

招銀國際證券將會根據招銀國際證券的個人資料保障聲明使用並保密處理本問卷所收集的資料。

6. When conducting transaction by using joint account, CMBIS will merely rely on the investment risk profile and personal information provided by the client, who places the investment order, when conducting the suitability assessment and introducing products (if applicable). Therefore, the product being subscribed by the relevant client may not be suitable for another joint account holder due to different factors including but not limited to product nature, structure or complexity etc.

在以聯名賬戶辦理投資交易時，招銀國際證券只會以交易來人的投資風險取向及所提供的個人資料，進行合適性評估及介紹合適產品(如有)。故此認購的產品(包括但不限於產品特性、結構或複雜性等不同因素)可能未必適合另一位聯名戶戶主。

7. 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	

Which of the following age group do you belong to?

1. 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) 10% to less than 20%
10% 至少於 20%
- (c) 20% to less than 30%
20% 至少於 30%
- (d) 30% to less than 50%
30% 至少於 50%
- (e) 50% or more
50% 或以上

* Income refers to the sum of all sources of income coming from, but not limited to, work, investment, business, tenancy, interest, coupon, dividend, pension, estate, etc. 收入是指合計所有來源的收入，包括但不限於來自工作、投資、商務、租務、利息、票息、股息、退休金、遺產等。

7. What is the percentage of your net worth asset (excluding the value of your real estate properties) that will be set aside for investment purpose?

你將會分配多少百分比的淨資產(即不包括房地產物業的價值)作為投資用途?

- (a) Less than 10%
少於 10%
- (b) 10% to less than 20%
10% 至少於 20%
- (c) 20% to less than 30%
20% 至少於 30%
- (d) 30% to less than 50%
30% 至少於 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槓桿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：

(Choose more than one answer if applicable 如適用, 可選擇多於一項)

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年內之交易次數 [^]		
			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	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Nil 零 <input type="checkbox"/> < 5 <input type="checkbox"/> 5 - 10 <input type="checkbox"/> > 10	<input type="checkbox"/> (i)	<input type="checkbox"/> (ii)	<input type="checkbox"/> (iii)
(b) Fixed Income Securities (Without Special Features [#]) 固定收益證券(沒有附帶特別條款 [#]) e.g. Certificates of Deposits, Government Bonds 例如: 存款證、政府債券	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Nil 零 <input type="checkbox"/> < 5 <input type="checkbox"/> 5 - 10 <input type="checkbox"/> > 10	<input type="checkbox"/> (i)	<input type="checkbox"/> (ii)	<input type="checkbox"/> (iii)
(c) Fixed Income Securities (With Special Features [#] Excluding Loss Absorption Feature*) 固定收益證券(附帶特別條款 [#] 但彌補虧損特點除外) e.g. Perpetual Bonds, Preferred Shares 例如: 永續債券、優先股票	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Nil 零 <input type="checkbox"/> < 5 <input type="checkbox"/> 5 - 10 <input type="checkbox"/> > 10	<input type="checkbox"/> (i)	<input type="checkbox"/> (ii)	<input type="checkbox"/> (iii)
(d) Principal Protected Structured Product 保本結構性產品 e.g. Structured Deposits 例如: 結構性存款	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Nil 零 <input type="checkbox"/> < 5 <input type="checkbox"/> 5 - 10 <input type="checkbox"/> > 10	<input type="checkbox"/> (i)	<input type="checkbox"/> (ii)	<input type="checkbox"/> (iii)
(e) Non-principal Protected Structured Product (Currency/ Interest Rate Linked) 非保本結構性產品(外幣/利率掛鉤) e.g. Currency Linked Deposits 例如: 外幣掛鉤存款	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Nil 零 <input type="checkbox"/> < 5 <input type="checkbox"/> 5 - 10 <input type="checkbox"/> > 10	<input type="checkbox"/> (i)	<input type="checkbox"/> (ii)	<input type="checkbox"/> (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)	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Nil 零 <input type="checkbox"/> < 5 <input type="checkbox"/> 5 - 10 <input type="checkbox"/> > 10	<input type="checkbox"/> (i)	<input type="checkbox"/> (ii)	<input type="checkbox"/> (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)	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Nil 零 <input type="checkbox"/> < 5 <input type="checkbox"/> 5 - 10 <input type="checkbox"/> > 10	<input type="checkbox"/> (i)	<input type="checkbox"/> (ii)	<input type="checkbox"/> (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)	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Nil 零 <input type="checkbox"/> < 5 <input type="checkbox"/> 5 - 10 <input type="checkbox"/> > 10	<input type="checkbox"/> (i)	<input type="checkbox"/> (ii)	<input type="checkbox"/> (iii)

[^] Including but not limited to the number of transactions conducted through the CMBIS. 包括但不限於招銀國際證券所進行之交易次數。

[#] According to the website of Securities and Futures Commission regarding "Non-complex and complex products", bonds with special features include but not limited to perpetual or subordinated bonds, or those with variable or deferred interest payment terms, extendable maturity dates, or those which are convertible or exchangeable or have contingent write down or loss absorption features, or those with multiple credit support providers and structures. 根據證券及期貨事務監察委員會網頁有關「非複雜及複雜產品」之說明，具有某特點的債券包括但不限於屬永續性質或後償性質的債券，或那些具有浮息或延遲派付利息條款、可延遲期日、或那些屬可換股或可交換性質或具有或然攤減或彌補虧損特點的債券，或那些具備非單一信貸支持提供者及結構的債券。

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)	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Nil 零 <input type="checkbox"/> < 5 <input type="checkbox"/> 5 - 10 <input type="checkbox"/> > 10	<input type="checkbox"/> (i)	<input type="checkbox"/> (ii)	<input type="checkbox"/> (iii)
(j) Stocks or ETFs 股票或交易所買賣基金	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Nil 零 <input type="checkbox"/> < 5 <input type="checkbox"/> 5 - 10 <input type="checkbox"/> > 10	<input type="checkbox"/> (i)	<input type="checkbox"/> (ii)	<input type="checkbox"/> (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	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Nil 零 <input type="checkbox"/> < 5 <input type="checkbox"/> 5 - 10 <input type="checkbox"/> > 10	<input type="checkbox"/> (i)	<input type="checkbox"/> (ii)	<input type="checkbox"/> (iii)
(l) Derivatives / Leveraged Product 衍生工具/槓桿產品 e.g. Option, Futures, Forwards, Interest Rate Swap, Cross Currency Swap, Warrant, Margin Trading 例如: 期權、期貨、遠期、利率掉期、跨貨幣掉期、認股權證、孖展交易	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Nil 零 <input type="checkbox"/> < 5 <input type="checkbox"/> 5 - 10 <input type="checkbox"/> > 10	<input type="checkbox"/> (i)	<input type="checkbox"/> (ii)	<input type="checkbox"/> (iii)
(m) Exchange Traded Derivatives 交易所買賣衍生工具 e.g. Warrants, Stock Options, Futures & Options, Callable Bull/Bear Contracts 例如: 窩輪、股票期權、期貨及期權、牛熊證	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Nil 零 <input type="checkbox"/> < 5 <input type="checkbox"/> 5 - 10 <input type="checkbox"/> > 10	<input type="checkbox"/> (i)	<input type="checkbox"/> (ii)	<input type="checkbox"/> (iii)
(n) Derivative Fund 金融衍生工具基金	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Nil 零 <input type="checkbox"/> < 5 <input type="checkbox"/> 5 - 10 <input type="checkbox"/> > 10	<input type="checkbox"/> (i)	<input type="checkbox"/> (ii)	<input type="checkbox"/> (iii)
(o) Loss Absorption Product* 彌補虧損產品*	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Nil 零 <input type="checkbox"/> < 5 <input type="checkbox"/> 5 - 10 <input type="checkbox"/> > 10	<input type="checkbox"/> (i)	<input type="checkbox"/> (ii)	<input type="checkbox"/> (iii)
(p) Others 其它 e.g. Private Equity, Private Equity Fund, Hedge Fund, Virtual asset-related Product 例如: 私募股本、私募股本基金、對沖基金、虛擬資產相關產品	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	<input type="checkbox"/> Nil 零 <input type="checkbox"/> < 5 <input type="checkbox"/> 5 - 10 <input type="checkbox"/> > 10	<input type="checkbox"/> (i)	<input type="checkbox"/> (ii)	<input type="checkbox"/> (iii)

[^] Including but not limited to the number of transactions conducted through the CMBIS. 包括但不限於招銀國際證券所進行之交易次數。

* Loss absorption products refer to debt instruments with features of contingent write-down or conversion to ordinary shares on the occurrence of a trigger event and investment products that invest mainly in those debt instruments, or whose returns are closely linked to the performance of those instruments. Therefore, debt instruments with loss-absorption features are subject to the risk of being written down or converted to ordinary shares (such as recapitalizing the issuer as it goes through resolution). 彌補虧損產品是指發生觸發事件時具有或然撇減或轉換為普通股的債務票據及主要投資於具有該等債務票據或回報與該等票據緊密相連的投資產品。因此，附有彌補虧損特點的債務票據存在被撇減或轉換為普通股的風險(例如在發行人進入處置過程時進行資本重組)。

Assessment Result 評估結果

Based on the answers you have provided, you have been informed that your investment risk profile is 根據你所提供的答案，你被通知你的投資風險取向為

	Risk Profile 投資風險取向	Attributes and Risk Preferences 特性及風險偏好
<input type="checkbox"/>	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。
<input type="checkbox"/>	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/或經驗，及/或願意承擔適度的風險，以獲取比銀行存款較高的回報。
<input type="checkbox"/>	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. 一般而言，這類客戶具備有關投資的知識及/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。
<input type="checkbox"/>	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. 一般而言，這類客戶具備有關投資的知識及/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。
<input type="checkbox"/>	Aggressive 進取型	Generally speaking, these customers demonstrate a rather strong preference, knowledge and / or experience on high-risk, complex or leveraged products; are willing to accept critical price fluctuation and take very high risk so as to achieve returns substantially higher than the major stock market indexes. 一般而言，這類客戶對於高風險、複雜或槓桿產品具有較強的喜好、知識及/或經驗，願意接受重大的價格波動及承擔非常高的風險，以獲取明顯高於主要股票市場的回報。

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. 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。

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. 本人同意此投資風險取向將存於招銀國際證券記錄，及招銀國際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. 招銀國際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。



Part 3- Derivatives Knowledge Assessment

第三部份-衍生工具知識評估

This questionnaire serves to help CMB International Securities Limited understand your knowledge in derivative and assess whether your chosen product is suitable for you.

衍生工具知識評估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。

<p>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 Products? 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?</p>	<p><input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有</p>
<p>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?</p>	<p><input type="checkbox"/> Futures 期貨 <input type="checkbox"/> Forwards 遠期合約 <input type="checkbox"/> Options 期權 <input type="checkbox"/> All of the above 上述各項皆是</p>
<p>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?</p>	<p><input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Changing asset mix of investment portfolio 調配投資組合內的資產分配 <input type="checkbox"/> Income enhancement 提升收益 <input type="checkbox"/> All of the above 上述各項皆是</p>
<p>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?</p>	<p><input type="checkbox"/> Market risk 市場風險 <input type="checkbox"/> Liquidity risk 流動性風險 <input type="checkbox"/> Counterparty credit risk 交易對手信貸風險 <input type="checkbox"/> All of the above 上述各項皆是</p>
<p>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?</p>	<p><input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Leverage 槓桿 <input type="checkbox"/> Redemption/Switching 贖回轉換</p>

客戶聲明 Customer Declaration

- 本人/我們確認並接受招銀國際將根據本表格提供的資料去評估本人/我們是否擁有對衍生工具之認識，以符合證券及期貨事務監察委員會就分銷衍生工具相關產品制訂之監管要求。
I/We acknowledge and accept that CMBI will rely on the information provided in this form to assess whether I/we have acquired knowledge of derivatives in compliance with the relevant requirements on distribution of derivatives-related products formulated by the Securities and Futures Commission.
- 本人/我們確認所提供的表格資料在提供時均屬真確，並承諾於資料有任何變動及時通知招銀國際。
I/We hereby affirm that the information provided in this form is accurate as of the moment of provision and undertake to inform CMBI any changes of the information on a timely basis.
- 本人/我們確認透過招銀國際提供的[衍生工具知識認知的培訓]，已完全明白衍生工具相關產品的性質、特性及風險。
I/ We confirm that I/We have completely understood the nature, feature and risks of derivatives -related-products through the Knowledge of Derivatives Training provided by CMBI.

評估結果 Assessment Result (由職員填寫 To be completed by staff:)

總分數 Total Score:[1/5

及格 Pass : 是 Yes / 否 No



Part 4- Knowledge of Virtual Assets Assessment

第四部份-虛擬資產知識認知評估

客戶對虛擬資產知識認知的培訓聲明 Customer Declaration for Knowledge of Virtual Assets Training

- 本人/我們已完成招銀國際提供之「認識虛擬資產」培訓介紹，內容包括但不限於：(a) 虛擬資產的簡介、(b) 常見虛擬資產相關產品的性質與種類、(c) 虛擬資產的用途及(d) 虛擬資產所涉及的風險。本人/我們確認清楚收悉及理解該培訓內容。

I/We have gone through the presentation of "Virtual Asset Knowledge" training on provided by CMBI, including but not limited to the contents: (a) Introduction to Virtual Assets, (b) Common Types and Features of Virtual Assets, (c) Applications of Virtual Assets and (d) Key Risks Associated with Virtual Assets. We/I fully acknowledged and understood the contents of the training.

虛擬資產知識認知問題 Questions for Knowledge of Virtual Assets

- 以下哪項說明虛擬資產相關產品是**正確**? (可選多於一項。)
Which of the following statements about virtual asset related products is **TRUE**? (Choose more than one answer if appropriate.)
 - (a) 主要投資目標或策略為投資於虛擬資產 Have a principal investment objective or strategy to invest in virtual assets
 - (b) 能夠獲得公司權益並享有各種權益, 包括資本利得或損失, 根據公司盈利獲得分紅 Awards the investors equity in the company and entitled to various benefits (including capital gains and losses), and the dividends based on profits
 - (c) 價值源自虛擬資產的價值及特點 Derive their value principally from the value and characteristics of virtual assets
 - (d) 跟蹤或模擬與虛擬資產的表現緊密吻合或相應的投資結果或回報 Track or replicate the investment results or returns which closely match or correspond to virtual assets
- 下列哪項**不是**虛擬資產相關產品?
Which of the following is **NOT** a virtual asset related-products?
 - (a) 功能型代幣 Utility Tokens
 - (b) 外匯貨幣 Foreign Currencies
 - (c) 以證券或資產作為支持的代幣 Security or Asset-backed Tokens
 - (d) 穩定幣 Stablecoins
- 無論虛擬資產相關產品是否涉及衍生工具特性, 投資者**必需**具備虛擬資產知識?
Investors **MUST** have sufficient knowledge of virtual assets, irrespective of whether or not they are embedded with derivative features?
 - (a) 是 Yes
 - (b) 否 No
- 請確認哪項屬於虛擬資產的風險。
Please identify the risks of virtual assets.
 - (a) 流動性風險 Liquidity Risk
 - (b) 交易對手風險 Counterparty Risk
 - (c) 市場風險 Market Risk
 - (d) 以上皆是 All of the above
- 「參與買賣虛擬資產相關產品的虧蝕風險為高, 你所蒙受的虧蝕可能導致失去部分或全額投資本金。」這說法是否正確?
"The risk of loss in virtual assets related-products is substantial, you may sustain losses in partial or all of your principal investment funds." Is this statement correct?
 - (a) 是 Yes
 - (b) 否 No

客戶聲明 Customer Declaration

- 本人/我們確認並接受招銀國際將根據本表格提供的資料去評估本人/我們是否擁有對虛擬資產之認識, 以符合證券及期貨事務監察委員會就分銷虛擬資產相關產品制訂之監管要求。
I/We acknowledge and accept that CMBI will rely on the information provided in this form to assess whether I/we have acquired knowledge of virtual assets in compliance with the relevant requirements on distribution of virtual asset-related products formulated by the Securities and Futures Commission.
- 本人/我們確認所提供的表格資料在提供時均屬真確, 並承諾於資料有任何變動及時通知招銀國際。
I/We hereby affirm that the information provided in this form is accurate as of the moment of provision and undertake to inform CMBI any changes of the information on a timely basis.
- 本人/我們確認透過招銀國際提供的[**虛擬資產知識認知的培訓**], 已完全明白虛擬資產相關產品的性質、特性及風險。
I/We confirm that I/We have completely understood the nature, feature and risks of virtual asset-related-products through the Knowledge of Virtual Assets Training provided by CMBI.

評估結果 Assessment Result (由職員填寫 To be completed by staff:)

總分數 Total Score: [1/5]

及格 Pass : 是 Yes / 否 No

Part 5- Common Reporting Standard – Self Certification Form (Individual)

第五部份-共同申報準則-自我證明表格 (個人)



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。

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

居留司法管轄區及稅務編號或具有等同功能的識別編號 (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 如帳戶持有人的香港稅務居民，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)			

Declarations 聲明

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. I further acknowledge and agree that 本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。本人知悉及同意；

- Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112) 根據《稅務條例》(第 112 章) 有關交換財務帳戶資料的法律條文
 - the information contained in this form is collected and may be kept by CMBIS for the purpose of automatic exchange of financial account information, and 招銀國際證券可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
 - such information and information regarding the account holder and any reportable account(s) may be reported by CMBIS 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 招銀國際證券可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。

2. advise CMBIS of any change in circumstances which affects the tax residency status of the individual or causes the information contained herein to become incorrect, and to provide CMBIS with a suitably updated self-certification form within 30 days of such change in circumstances.如情況有所改變，以致影響本表格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，通知招銀國際證券，並會在情況發生改變後 30 日內，向招銀國際證券提交一份已適當更新的自我證明表格。
3. I am the account holder / I am authorized to sign for the account holder # of all the account(s) to which this form relates 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。

WARNING 警告: 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). 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 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 Protection 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（“招銀國際證券”）開設之證券買賣/孖展戶口。該戶口受到吾等/本人簽署之開戶協議、招銀國際證券發出及不時修訂及/或補充之現金客戶協議及保證金客戶協議及、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”）因證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國際證券之前，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國際證券行使其權力，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 必須提供地址證明)	Date 日期



Part 7- Client Consent on the Hong Kong Investor Identification Regime (HKIDR) and the Personal Information Collection Statement on the Over-the-counter Securities Transaction Reporting Regime (OTCR)

第七部份-客戶同意書有關香港投資者識別碼制度及場外證券交易彙報制度下的個人資料收集聲明

You acknowledge and agree that CMB International Securities Limited may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(s)) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes –

閣下明白並同意，招銀國際證券有限公司為了向閣下提供與在香港聯合交易所（聯交所）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（證監會）的規則和規定，我們可收集、儲存、處理、使用、披露及轉移與閣下有關係的個人資料（包括閣下的客戶識別資訊及券商客戶編碼）。在不限制以上的內容的前提下，當中包括—

- (a) disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time; 根據不時生效的聯交所及證監會規則和規定，向聯交所及 / 或證監會披露及轉移閣下的個人資料（包括客戶識別資訊及券商客戶編碼）；
- (b) allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and 允許聯交所：(i) 收集、儲存、處理及使用閣下的個人資料（包括客戶識別資訊及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii) 向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii) 為監察市場目的而使用有關資料進行分析；及
- (c) allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements. 允許證監會：(i) 收集、儲存、處理及使用閣下的個人資料（包括客戶識別資訊及券商客戶編碼），以使其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii) 根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent. 閣下亦同意，即使閣下其後宣稱撤回同意，我們在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

Failure to provide us with your personal data or consent as described above may mean that we will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any). 閣下如未能向我們提供個人資料或上述同意，可能意味著我們不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

Note: The terms "BCAN" and "CID" used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission. 備註：本條文所述的“券商客戶編碼”及“客戶識別資訊”具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第 5.6 段所界定的含義。

Acknowledgement and Consent 知悉及同意

I acknowledge I have read and understand the content of the Personal Information Collection Statement on the Hong Kong Investor Identification Regime and Over-the-counter Securities Transaction Reporting Regime of CMB International Securities Limited. By ticking the box below, I signify my consent for CMB International Securities Limited to use my personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

本人知悉本人已閱讀及已明白此份由招銀國際證券有限公司發出有關香港投資者識別碼制度及場外證券交易彙報制度下的個人資料收集聲明的同意書。透過勾選以下方格，本人表示同意招銀國際證券有限公司根據個人資料收集聲明內的條款及目的而使用本人的個人資料。

I agree with the use of my personal data by CMB International Securities Limited for the purposes set out in the Personal Information Collection Statement. 本人表示同意招銀國際證券有限公司根據個人資料收集聲明內的條款及目的而使用本人的個人資料。

Signed by 簽署 _____

Date 日期 _____



Part 8- Client Consent on The Northbound Investor ID Model and The Personal Information Collection Statement concerning Northbound China Connect Orders (If Applicable)

第八部份-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 (如適用)

Processing of Personal Data as part of the Stock Connect Northbound Trading 處理個人資料作為滬深港通北向交易的一部份

You acknowledge and agree that in providing our Stock Connect Northbound Trading Service to you, we will be required to 閣下知悉及同意有關閣下提供的滬深港通北向交易服務。我司將被要求進行以下工作：

- (i) tag each of your orders submitted to the CSC with a Broker-to-Client Assigned Number ("BCAN") that is unique to you (for clients having single account) / tag each of your orders submitted to the CSC with a Broker-to-Client Assigned Number ("BCAN") that is unique to you or the BCAN that is assigned to your joint account with us, as appropriate (for clients having a joint account); and 對閣下每一個提交到中華通交易系統的委託，加上一個獨一無二而且專屬於閣下的券商客戶編碼（以下簡稱「BCAN」）（適用於客戶持有單一帳戶）/ 對閣下每一個提交到中華通交易系統的委託，加上一個獨一無二而且專屬於閣下的券商客戶編碼（以下簡稱「BCAN」）或加上一個編配給閣下聯名帳戶的 BCAN 碼（適用於客戶持有聯名帳戶）；及
- (ii) provide to the Exchange your assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to you as the Exchange may request from time to time under the Rules of the Exchange. 向交易所提供已編配給閣下的 BCAN 碼及有關閣下的識別資訊（「客戶識別資訊」或以下簡稱「CID」），一切皆由於，交易所可根據交易所規則而不時提出的要求。

Without limitation to any notification we have given you or consent we have obtained from you in respect of the processing of your personal data in connection with your account and our services to you, you acknowledge and agree that we may collect, store, use, disclose and transfer personal data relating to you as required as part of our Stock Connect Northbound Trading Service, including as follows 有關處理閣下帳戶上及為閣下提供服務上的個人資料，在不限制我司過往已發給閣下任何相關通知或已從閣下那邊取得任何相關同意的情况下，閣下現在知悉及同意我司可因應滬深港通北向交易服務而收集、保存、使用、透露及轉發有關閣下的個人資料，包括如下：

- (a) to disclose and transfer your BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating your BCAN when inputting a China Connect Order into the CSC, which will be further routed to the relevant China Connect Market Operator on a real-time basis 不時透露及轉發閣下的 BCAN 碼及 CID 給交易所及相關的香港交易所子公司，透過將中華通交易委託輸入中華通交易系統，而該委託將會即時被轉到相關的中華通市場營運者時，我司在該委託上標示出閣下的 BCAN 碼；
- (b) to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store your BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via HKEX) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Connect Market Operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets 容許每一個交易所及相關的香港交易所子公司：(i) 收集、使用及保存閣下的 BCAN、CID 及任何由相關的中華通結算所提供已整合、已驗證及已配對的 BCAN 及 CID 資訊（資訊由他們保存或透過香港交易所保存）用作監控、監察市場及執行交易所規則；(ii) 不時為了滿足以下(c)及(d)段的目的而須要（直接或透過相關中華通結算所）轉發這些資訊到相關的中華通市場營運者；及(iii) 透露這些資訊給在香港相關的監管機構及執法機關，以致有助他們在香港金融市場上提升他們的法定功能；
- (c) to allow the relevant China Connect Clearing House to: (i) collect, use and store your BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator, the Exchange and the relevant SEHK Subsidiary; (ii) use your BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and 容許相關的中華通結算所：(i) 收集、使用及保存閣下的 BCAN 及 CID，有助進行對 BCAN 及 CID 的整合及驗證，以及進行對 BCAN 及 CID 與投資者識別資料庫之間的配對，從而提供已整合、已驗證及已配對的 BCAN 及 CID 資訊給相關的中華通市場營運者、交易所及相關的香港交易所子公司；(ii) 透過使用閣下的 BCAN 及 CID 來表現出在證券帳戶管理上的監管功能；及(iii) 透露這些資訊給對此有司法權的中國大陸監管當局及執法機關，以致有助他們在中國大陸金融市場上提升他們的監管、監察及執法功能；及
- (d) to allow the relevant China Connect Market Operator to: (i) collect, use and store your BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets 容許相關的中華通市場營運者：(i) 收集、使用及保存閣下的 BCAN 及 CID，有助透過應用中華通服務及執行相關中華通市場營運者所訂定的規則來監控及監察在相關中華通市場上的證券交易；及(ii) 透露這些資訊給對此有司法權的中國大陸監管當局及執法機關，以致有助他們在中國大陸金融市場上提升他們的監管、監察及執法功能。

- (e) By instructing us in respect of any transaction relating to China Connect Securities, you acknowledge and agree that we may use your personal data for the purposes of complying with the requirements of the Exchange and its rules as in force from time to time in connection with the Stock Connect Northbound Trading. You also acknowledge that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent 透過給我司有關中華通證券相關交易的指示，閣下知悉及同意我司為符合交易所的要求及符合其對滬深港北向交易持續有效的規則而使用閣下的個人資料。閣下亦知悉儘管閣下之後據稱有任何撤回同意，不論在閣下據稱撤回同意之前或之後，閣下的個人資料仍可被保存、使用、透露、轉發及以其他方式用作以上用途。

Consequences of failing to provide Personal Data or Consent 不提供同意書或個人資料所須承擔的後果

Failure to provide us with your personal data or consent as described above may mean that we will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with our Stock Connect Northbound Trading Service 不提供上述閣下的同意書或個人資料，即表示我司將不會或不再能夠處理閣下的交易指示或向閣下提供滬深港北向交易服務。

Acknowledgement and Consent 知悉及同意

I acknowledge I have read and understand the content of the Personal Information Collection Statement concerning Northbound China Connect Orders of **CMB International Securities Limited**. By ticking the box below, I signify my consent for **CMB International Securities Limited** to use my personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

本人知悉本人已閱讀及已明白此份由招銀國際證券有限公司發出有關中華通北向交易委託的個人資料收集聲明的同意書。透過勾選以下方格，本人表示同意招銀國際證券有限公司根據個人資料收集聲明內的條款及目的而使用本人的個人資料。

- I agree with the use of my personal data by CMB International Securities Limited for the purposes set out in the Personal Information Collection Statement. 本人表示同意招銀國際證券有限公司根據個人資料收集聲明內的條款及目的而使用本人的個人資料。

Signed by 簽署

Date 日期



Part 9- Customer Consent to Use of Information

第九部份-客户资料使用同意书

本人/吾等確認知悉為了招銀國際證券母公司招商銀行股份有限公司(「招商銀行」)進行內部業務評估和為本人/吾等提供相應的銀行服務,招銀國際證券及招銀國際證券之附屬公司需要向招商銀行披露本人/吾等所有帳戶(帳戶結餘、貸款、證券、期貨、期權、財富管理等)、交易、資產及負債、以及所有本人/吾等在招銀國際證券及招銀國際證券之附屬公司的業務所衍生的收費及利息等相關資料,以便招商銀行根據本人/吾等境內外資產和收益總量,共同提供服務。

I/We acknowledge that for the purpose of enabling the parent company of CMBIS, China Merchants Bank Company Limited(“CMB”) to conduct internal business assessments and to provide corresponding services, CMBIS and CMBIS’ s subsidiary companies may need to disclose information to CMB in relation to all my/our accounts (account balances, loans, securities, futures, options, wealth management, etc.), transactions, assets and liabilities, and all costs and interests derived from all my/our business with CMBIS and CMBIS’ s subsidiary companies, for the purposes of enabling CMB to provide corresponding services to me/us based on my/our total assets and total revenue in or outside Hong Kong.

- 同意上述安排 Consent to the above arrangement
 不同意上述安排 Do not consent to the above arrangement

本人/吾等明白此乃自願選擇是否給予同意,以及本人/吾等其後可藉給予招銀國際證券事先書面通知撤銷上述選擇。

I/We understand it is my/our voluntary choice whether to give the consent. I/We may subsequently change my/our choice by written notice to the CMBIS.

客戶簽名 Customer’ s Signature

日期 Date

(必須與客戶開立帳戶資料上的簽署相同 Please sign with the signature in your account opening form)

[若此文件的中英文版本有任何歧義,概以英文版為準。If there is any discrepancy between the English and Chinese version of this document, the English version shall prevail.]

內部使用 Internal Use Only	
招行一卡通 CMB Card No.	客戶經理 Name of AE



Part 10- Acknowledgement by Client

第十部份-客戶聲明

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渠道作直銷推廣 (請以"✓"選擇管道) :

Electronic Channels 電子渠道 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 (招銀國際證券) 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國際證券的客戶, 招銀國際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. 若您不欲招銀國際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」指招銀國際證券及其控股公司、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 Personal Data Protection Statement. 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, 以及對招銀國際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國際證券的選擇。請注意, 閣下以上的選擇適用於根據招銀國際證券的「個人資料保障聲明」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 (招銀國際證券) 接到更改有關本資料表格內容的書面通知, 否則招銀國際證券可完全依賴這些資料及陳述做一切用途。客戶授權招銀國際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/吾等同意向招銀國際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》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國際證券重新對本人/吾等進行風險承受力評估。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）。

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

I/We understand and agree that 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。
CMBIS 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) CMBIS 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。

Applicable for Joint Account 聯名帳戶適用

All written instructions of the account can be signed by any one of the account holders. 所有帳戶書面指示可由任何一位帳戶持有人簽署。

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

Witness 見證人

<p>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。</p>		
<p>Name of Witness 見證人姓名</p>	<p>Witness Signature 見證人簽署</p>	<p>Date 日期</p>
<p>Address 見證人地址</p>		<p>Occupation 見證人職業</p>

The qualified witnesses include any licensed or registered person in CMBI, Justice of the Peace (JP), certified public account, lawyer, notary public and/or chartered secretary in equivalent jurisdictions. Such witness can only be conducted in Hong Kong. If witness takes place outside Hong Kong, please contact your relationship manager. 見證人必須為招銀國際之證監會持牌人、太平紳士或專業人士，例如專業會計師、律師、公證人及/或特許秘書，並只能在香港進行。如見證在香港以外地方進行，請與客戶經理聯絡。

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

<p>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）。</p>	
<p>Name of Staff/ Licensed Representative 職員/持牌代表名稱</p>	<p>CE. No 中央編號</p>
<p>Signature 職員/持牌代表簽署</p>	<p>Date 日期</p>

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			
佣金：	<input type="checkbox"/> 標準	<input type="checkbox"/> 招行員工	<input type="checkbox"/> 其他(請注明)
	電話	網上	審批
客戶主任/經理簽署	(AE Code)	負責人員簽署	
(Optional)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/核心系統號): _____/_____			
業務條線：	<input type="checkbox"/> 零售 P	<input type="checkbox"/> 對公 C	<input type="checkbox"/> 國際 I
	<input type="checkbox"/> 其他		
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」			
<input type="checkbox"/> Opt to be recalcitrant		<input type="checkbox"/> 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. US.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 —