

招銀國際環球市場有限公司(“招銀國際環球市場”)

招銀國際證券有限公司(“招銀國際證券”)

Account Opening Agreement- Corporate

開戶協議-法團

招銀國際環球市場有限公司 (AAF261)
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
電話 Tel: (852) 3761-8811

CMB International Global Markets Limited
CMB International Securities Limited
45/F, Champion Tower,
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, Stock Options Trading 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、股票期權交易協議、風險披露聲明、個人資料保障聲明書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- CORPORATE
客戶投資風險取向分析問卷-法團
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-ENTITY
共同申報準則- 自我證明表格 – 實體
6. COMMON REPORTING STANDARD (CRS) - SELF DECLARATION FORM-CONTROLLING PERSON (If Applicable)
共同申報準則- 自我證明表格 – 控權人 (如適用)
7. BOARD RESOLUTION
董事決議案 (如適用)
8. APPOINTMENT OF PROCESS AGENT (If Applicable)
法律文件接收人委任書 (如適用)
9. ACKNOWLEDGEMENT BY CLIENT
客戶聲明

Accounts and Services 帳戶及服務

	Account Type 帳戶類別	Securities Service 證券服務
<input type="checkbox"/> CMB International Global Markets Limited 招銀國際環球市場有限公司 CE 編號：AAF261	<input type="checkbox"/> 1. Cash Account 現金帳戶 <input type="checkbox"/> 2. Margin Account 保證金帳戶(註 1)	Hong Kong Stocks 港股 and 及 <input type="checkbox"/> US Stocks 美國股票 <input type="checkbox"/> Shanghai-Hong Kong Stock Connect 滬港通(註 1) <input type="checkbox"/> Shenzhen-Hong Kong Stock Connect 深港通(註 1) <input type="checkbox"/> Bonds, Funds and Others Over the counter Derivatives 債券、基金及其他場外衍生產品 <input type="checkbox"/> Other Stocks markets (Please refer to our official website) 其他股票市場 (請參閱我司官方網頁)：
<input type="checkbox"/> CMB International Securities Limited 招銀國際證券有限公司 CE 編號：AUZ441	<input type="checkbox"/> 1. Cash Account 現金帳戶 <input type="checkbox"/> 2. Margin Account 保證金帳戶 <input type="checkbox"/> 3. Stock Options Account 香港股票期權帳戶 <input type="checkbox"/> 4. 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) <input type="checkbox"/> 5. Accounts with External Asset Manager (“EAM”)由外部資產管理人運作帳戶(註 2) <input type="checkbox"/> A. Cash Account 現金帳戶 <input type="checkbox"/> B. Margin Account 保證金帳戶	Hong Kong Stocks 港股 and 及 <input type="checkbox"/> US Stocks 美國股票 <input type="checkbox"/> Shanghai-Hong Kong Stock Connect 滬港通 <input type="checkbox"/> Shenzhen-Hong Kong Stock Connect 深港通 <input type="checkbox"/> Bonds, Funds and Others Over the counter Derivatives 債券、基金及其他場外衍生產品 <input type="checkbox"/> Other Stocks markets (Please refer to our official website) 其他股票市場 (請參閱我司官方網頁)：
<input type="checkbox"/> (If applicable 如適用) We agree to register all existing trading channels to conduct the selected securities services above. We have read and agreed to the terms and conditions. The Client account code and password will be sent to our registered email. 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。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 1: This service is not yet available. 尚未提供此服務。		
註 2: The External Asset Manager includes CMB International Asset Management Limited. 外部資產管理人包括招銀國際資產管理有限公司。 [Part 2-Client Investment Risk Profile Questionnaire-Corporate], [Part 3-Derivatives Knowledge Assessment and [Part 4- Knowledge of Virtual Assets Assessment] are not applicable to EAM account. [第二部份、客戶投資風險取向分析問卷-法團]、[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。		

 Application of 申請成為
 Professional Investor-Corporate 專業投資者-法團

- Complete [Application for Treatment as “Professional Investor” -Corporate] 請填寫 [專業投資者 (法團) 申請書]

 Experienced Professional Investor-Corporate 經驗專業投資者-法團

- Complete [Application for Treatment as “Professional Investor” -Corporate] 填寫 [專業投資者 (法團) 申請書]
- Pass the [Assessment of Experienced Professional Investor-Corporate]. 需通過經驗專業投資者-法團評估
- Opt-out from Simplified Investment Objective and Experience Questionnaire, [Part 2-Client Investment Risk Profile Questionnaire-Corporate] and [Part 3-Derivatives Knowledge Assessment]. 毋須完成簡易投資目標及經驗問卷、[第二部份、客戶投資風險取向分析問卷-法團] 及 [第三部份、衍生工具知識評估]。

Please read the Appendices, the attached Cash Client' s Agreement, Margin Client' s Agreement, Stock Options Trading 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、股票期權交易協議及相關的文件及條款。

Part 1-Account Information

第一部份-帳戶資料

Corporate Data 公司基本資料

Company (Account) Name in English 公司(帳戶)英文名稱	
Company (Account) Name in Chinese 公司(帳戶)中文名稱	
Nature of Entity 公司性質	<input type="checkbox"/> Sole Proprietorship 獨資 <input type="checkbox"/> Partnership 合夥 <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Others, please specify 其他·請註明:
Applicable to Listed Company 上市公司適用	Name(s) of Stock Exchange 交易所名稱 Stock Code 股票編號
Nature of Business 業務性質	
Registered Address 註冊地址	
Principal Business Address 主要營業地址	If different from Registered Address, please specify 如與註冊地址不相同·請註明:
Correspondence Address 通訊地址	<input type="checkbox"/> Same As Registered Address 與註冊地址相同 <input type="checkbox"/> Others, please specify 其他·請註明: <input type="checkbox"/> Same As Principal Business Address 與主要營業地址相同
If a HK Address (non-PO BOX) cannot be provided, please complete [Part8-Appointment of Process Agent]. 如未能提供香港地址(非郵政信箱)·必須填寫[第八部份·法律文件接收人委任書]。	
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) Legal Entity Identifier (LEI); (2) Certificate of Incorporation; (3) Business Registration Certificate; (4) other equivalent documents. 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文件:(1) 法律實體識別編碼(LEI); (2) 公司註冊證明書;(3) 商業登記證;(4) 其他同等文件。	
Place of Incorporation 註冊地點	Date of Incorporation 註冊日期
Certificate of Incorporation No. (註3) 公司註冊號碼	Business Registration No. (註3) 商業登記號碼
Legal Entity Identifier (LEI) (註3) 法律實體識別編碼	E-mail address 電郵地址
註3: Must be provided if having any of the identification documents. Please enclose a copy of the related document. 如有身分證明文件,必須提供·並請附上相關文件副本。	
<input checked="" type="checkbox"/> I/we understand and have full knowledge of the waterfall of the acceptable client identity documents under the HKIDR and OTCR. 本人/我司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。 <input checked="" type="checkbox"/> If there is any update in the details on the identity document, I/we will inform CMBIS/CMBIGM promptly and provide CMBIS/CMBIGM with the relevant Identity document. 若本人/我司的身分證明文件信息有更新·本人/我司會立即知會招銀國際環球市場/招銀國際證券並提供相關身分證明文件。	
Company Website (if any): 公司網址(如有)	

For Internal Use Only 由客戶經理填寫	
According to the HKIDR and OTCR, the client type is: 根據香港投資者識別碼制度及場外證券交易匯報制度·客戶類型是:	<input type="checkbox"/> Fund 基金 <input type="checkbox"/> Legal Entity – Fund Manager 基金經理 <input type="checkbox"/> Legal Entity – Others 其他

Purpose of Account Opening 開戶目的：	<input type="checkbox"/> Investment 投資	<input type="checkbox"/> Others, please specify 其他·請註明
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 是, and we confirm that 是·我司確認	<input type="checkbox"/> No 否
	(i) we are not residing inside the United States and that all instructions will not be given and occur inside the United States; and 我司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) we will not trade US stocks or in the US markets through CMBIGM/CMBIS. 我司不會交易美股或透過招銀國際環球市場/招銀國際證券在美國證券市場進行交易。	

Contact Person Information 聯絡人資料

		Contact Person 聯絡人 (1)	Contact Person 聯絡人 (2)
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			
Job Title (if applicable) 工作職位 (如適用者)			
Telephone No. (Office) 電話號碼 (辦公室)	+Country Code-Area Code-Phone No. +國家代碼-地區代碼-電話號碼		
Fax No. 傳真號碼	+Country Code-Area Code-Phone No. +國家代碼-地區代碼-電話號碼		
Mobile (Note 4a) 手提電話 (註 4a)	+Country Code-Area Code-Phone No. +國家代碼-地區代碼-電話號碼		
E-mail address (Note 4b) 電郵地址 (註 4b)			
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。			
Note 4a: This will be the registered number to receive 2FA One-Time Password by default. 註 4a: 此手提電話號碼將預設成為登記電話號碼以接收雙重認證的一次性密碼。			
Note 4b: 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. 註 4b: 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。			

Financial Information 財務資料簡要

Place of origin of the fund source 資金來源地	<input type="checkbox"/> Hong Kong 香港	<input type="checkbox"/> China 中國
	<input type="checkbox"/> Others, please specify 其他，請註明：_____	
Initial Source of Fund 資金最初來自	<input type="checkbox"/> Operational Income 營運收入/ Investment Income 投資收入 <input type="checkbox"/> Rental Income 租金收入/ Interest Income 利息收入/ Dividend Income 股息收入 <input type="checkbox"/> Funds from shareholders 股東資金/capital contributions from partners 合夥人注/Sale of Investment 出售投資 <input type="checkbox"/> Others, please specify 其他，請註明：_____	
Ongoing Source of Fund 資金的持續來源	<input type="checkbox"/> Operational Income 營運收入/ Investment Income 投資收入 <input type="checkbox"/> Rental Income 租金收入/ Interest Income 利息收入/ Dividend Income 股息收入 <input type="checkbox"/> Funds from shareholders 股東資金/capital contributions from partners 合夥人注/Sale of Investment 出售投資 <input type="checkbox"/> Others, please specify 其他，請註明：_____	
Region of Major Counterparties 主要交易對手之地區	<input type="checkbox"/> Hong Kong 香港	<input type="checkbox"/> China 中國
	<input type="checkbox"/> Others, please specify 其他，請註明：_____	
Estimated Net Worth 預計淨資產值	HK\$	Estimated Liquid Net Worth 預計流動淨資產值
		HK\$
Monthly Expected Investment Amount in CMBIGM/CMBIS 每月預計於招銀國際環球市場/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		
HK\$		

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-Corporate] if you have opted for the securities service 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-法國]

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
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
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"/> Certificate of Deposit 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

All Directors 所有董事

		Director 董事 (1)	Director 董事 (2)
Name in English 英文姓名 (Applicable to Individual 個人適用)	First Name 名字		
	Middle Name 中間名		
	Last Name 姓氏		
	Alias 別名		
Name in English 英文姓名 (Applicable to Entity 公司適用)			
Name in Chinese 中文姓名			
Identity Document Types 身份證明文件類別 註 5: Please provide your passport to prove your nationality. 請提供你的護照以證明國籍。		<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 5) <input type="checkbox"/> PRC ID Card 中華人民共和國居民身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Business Registration 商業登記証 <input type="checkbox"/> Certificate of Incorporation 公司註冊証書 <input type="checkbox"/> Others 其他：	<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 5) <input type="checkbox"/> PRC ID Card 中華人民共和國居民身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Business Registration 商業登記証 <input type="checkbox"/> Certificate of Incorporation 公司註冊証書 <input type="checkbox"/> Others 其他：
ID/ Passport No 身份證明文件號碼			
Place of Issue 簽發地			
Nature of Entity 公司性質 (Applicable to Entity 公司適用)		<input type="checkbox"/> Sole Proprietorship 獨資 <input type="checkbox"/> Partnership 合夥 <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Others 其他：	<input type="checkbox"/> Sole Proprietorship 獨資 <input type="checkbox"/> Partnership 合夥 <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Others 其他：
Stock Exchange & Stock Code 交易所名稱及股票編號			
Residential Address/Registered Address 住宅地址/註冊地址：			

Immediate Shareholder(s) (Shareholding of 25% or more) 直接股東（持有 25%或之上股權）#

		Shareholder 股東 (1)	Shareholder 股東 (2)
Name in English 英文姓名 (Applicable to Individual 個人適用)	First Name 名字		
	Middle Name 中間名		
	Last Name 姓氏		
	Alias 別名		
Name in English 英文姓名 (Applicable to Entity 公司適用)			
Name in Chinese 中文姓名			
Identity Document Types 身份證明文件類別 <small>註 6: Please provide your passport to prove your nationality. 請提供你的護照以證明國籍。</small>		<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 6) <input type="checkbox"/> PRC ID Card 中華人民共和國居民身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Business Registration 商業登記証 <input type="checkbox"/> Certificate of Incorporation 公司註冊証書 <input type="checkbox"/> Others 其他：	<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 6) <input type="checkbox"/> PRC ID Card 中華人民共和國居民身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Business Registration 商業登記証 <input type="checkbox"/> Certificate of Incorporation 公司註冊証書 <input type="checkbox"/> Others 其他：
ID/ Passport No 身份證明文件號碼			
Place of Issue 簽發地			
Nature of Entity 公司性質 (Applicable to Entity 公司適用)		<input type="checkbox"/> Sole Proprietorship 獨資 <input type="checkbox"/> Partnership 合夥 <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Others 其他：	<input type="checkbox"/> Sole Proprietorship 獨資 <input type="checkbox"/> Partnership 合夥 <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Others 其他：
Stock Exchange & Stock Code 交易所名稱及股票編號			
Residential Address/Registered Address 住宅地址/註冊地址：			
Shareholding 股權(%)			
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 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

This part is not applicable to listed entities and state owned enterprises. 此部份不適用於上市公司及國有企業。

Ultimate beneficial owner(s) ["UBO"] (Shareholding of 25% or more) 最終實益擁有人 (持有 25%或之上股權) #

Please provide details of ultimate beneficial owner(s) ["UBO"] (Shareholding of 25% or more) if they are different from the above immediate shareholder(s) information 如最終實益擁有人 (持有 25%或之上股權) 與上述直接股東不同，請提供最終實益擁有人之資料:

		Shareholder 股東 (1)	Shareholder 股東 (2)
Name in English 英文姓名 (Applicable to Individual 個人適用)	First Name 名字		
	Middle Name 中間名		
	Last Name 姓氏		
	Alias 別名		
Name in English 英文姓名 (Applicable to Entity 公司適用)			
Name in Chinese 中文姓名			
Identity Document Types 身份證明文件類別 註 7: Please provide your passport to prove your nationality. 請提供你的護照以證明國籍。		<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 7) <input type="checkbox"/> PRC ID Card 中華人民共和國居民身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Business Registration 商業登記証 <input type="checkbox"/> Certificate of Incorporation 公司註冊証書 <input type="checkbox"/> Others 其他：	<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 7) <input type="checkbox"/> PRC ID Card 中華人民共和國居民身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Business Registration 商業登記証 <input type="checkbox"/> Certificate of Incorporation 公司註冊証書 <input type="checkbox"/> Others 其他：
ID/ Passport No 身份證明文件號碼			
Place of Issue 簽發地			
Nature of Entity 公司性質 (Applicable to Entity 公司適用)		<input type="checkbox"/> Sole Proprietorship 獨資 <input type="checkbox"/> Partnership 合夥 <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Others 其他：	<input type="checkbox"/> Sole Proprietorship 獨資 <input type="checkbox"/> Partnership 合夥 <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Others 其他：
Stock Exchange & Stock Code 交易所名稱及股票編號			
Residential Address/Registered Address 住宅地址/註冊地址：			
Shareholding 股權(%)			
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/we confirm that 是，本人/我司確認 (i) I am/we are not residing inside the United States and that all instructions will not be given and occur inside the United States; and 本人/我司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/we will not trade US stocks or in the US markets through CMBIGM/CMBIS. 本人/我司不會交易美股或透過招銀國際環球市場/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/we confirm that 是，本人/我司確認 (i) I am/we are not residing inside the United States and that all instructions will not be given and occur inside the United States; and 本人/我司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/we will not trade US stocks or in the US markets through CMBIGM/CMBIS. 本人/我司不會交易美股或透過招銀國際環球市場/招銀國際證券在美國證券市場進行交易 <input type="checkbox"/> No 否

This part is not applicable to listed entities and state owned enterprises. 此部份不適用於上市公司及國有企業。

Disclosure of Identity 相關身份披露

Is your Company a Licensed Corporation licensed by SFC? 貴公司是否為證券及期貨事務監察委員會之持牌或註冊法團?	<input type="checkbox"/> Yes 是, CE No 中央編號: _____ <input type="checkbox"/> No 否
Is any Director, Shareholder or Authorized Person of your Company an employee of any participant of the Stock Exchange of Hong Kong or a registered person under the Securities and Futures Ordinance? 貴公司之任何董事、股東或授權人士是否是聯交所參與者之雇員或根據證券及期貨條例註冊的持牌人士?	<input type="checkbox"/> Yes 是 Director/Shareholder/Authorized Person Name 董事、股東或授權人士姓名: _____ Participant Name 參與者名稱: _____ Position 職位: _____ CE. No. 中央編號: _____ (Please provide a consent letter issued by the employer. 請提供僱主同意開戶證明。) <input type="checkbox"/> No 否
Is any Director, Shareholder or Authorized Person of your Company a staff of CMBI? 貴公司之任何董事、股東或授權人士是否是招銀國際的職員?	<input type="checkbox"/> Yes 是, Name 姓名: _____ Position 職位: _____ <input type="checkbox"/> No 否
Does any Director, Shareholder or Authorized Person of your Company have any relationship with the staff of CMBI? 貴公司之任何董事、股東或授權人士與招銀國際的職員是否有親戚關係?	<input type="checkbox"/> Yes 是, Name of staff 僱員姓名: _____ Relationship 關係: _____ <input type="checkbox"/> No 否
Is any Director, Shareholder or Authorized Person or Related Company of your Company a Client of CMBI? 貴公司之任何董事、股東、授權人士或其關聯公司是否是招銀國際的客戶?	<input type="checkbox"/> Yes 是, Account Name 帳戶名稱: _____ Account No. 帳戶號碼: _____ <input type="checkbox"/> No 否
Is member of your group companies currently maintaining Account(s) with CMBI? 貴公司集團旗下公司成員有否在招銀國際開設帳戶?	<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 shareholders, directors or company, in control of 35% or more of the issued shares of any margin client of CMBI? 貴公司之任何董事是否與其公司共同控制招銀國際的其它保證金客戶 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

Settlement Account Information 結算帳戶資料

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
Name of Bank Account 帳戶名稱		
SWIFT Code 銀行國際代碼		
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
Name of Bank Account 帳戶名稱		
SWIFT Code 銀行國際代碼		
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 交易確認	<input checked="" type="checkbox"/> E-mail address (Default) 電子郵箱 (預設)	<input type="checkbox"/> Mail 郵寄(註 8)
Statements & Notices 結單單據	<input checked="" type="checkbox"/> E-mail address (Default) 電子郵箱 (預設)	<input type="checkbox"/> Mail 郵寄(註 8)

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

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

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

We, the undersigned client, hereby consent to CMBIGM/CMBIS providing all notices, statements, trade confirmations and other communications by CMBIGM/CMBIS to us through electronic communication and we hereby request, instruct and authorize CMBIGM/CMBIS to transmit, release and send all notices, statements, contract notes and other communications (the "Communications") to me/us at my/our designated e-mail address. We, acknowledge and accept the risks of receiving the Communications via electronic communications, including but not limited to the risks as set out in the Cash Client' s Agreement, Margin Client' s Agreement, Stock Options Trading Agreement and other related documents and terms and agree and undertake to hold CMBIGM/CMBIS harmless from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which we may incur, suffer and/or sustain as a result of CMBIGM/CMBIS' s provision of Communications via electronic communication. We understand we can only choose either receiving the Account statement via physical mail or via electronic communication. Once choosing electronic communication service, we shall not receive physical contract note and physical account statement by mail. We undertake to notify CMBIGM/CMBIS of any changes in our email address. If CMBIGM/CMBIS got two successive messages in relation to failure of sending the statement to our email address electronically, CMBIGM/CMBIS has the right to send the statement to 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. CMBIGM/CMBIS has explained to us, and we acknowledge and agree to, the content of this consent. 我·司·以下簽署之客戶·謹此招銀國際環球市場/招銀國際證券通過電子通訊向我司以我司於所指定之電子郵箱寄發成交單據及其它通訊(該等通訊)。我·司·確認及接受通過電子通訊的風險·包括但不限於載於現金客戶協議書、保證金客戶協議書、股票期權交易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環球市場/招銀國際證券因招銀國際環球市場/招銀國際證券通過電子服務提供該等通訊而令我·司·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。我·司·明白我·司·只可從郵寄帳單或電子通訊選擇其一·一經選用電子通訊·我·司·將不會收到郵件形式寄發之成交單及月結單。於我·司·選用電子通訊期間·我·司·將第一時間通知招銀國際環球市場/招銀國際證券有關我·司·電子郵箱的變更。假若招銀國際環球市場/招銀國際證券寄發電子帳單後連續兩次收到錯誤之通訊·招銀國際環球市場/招銀國際證券可選擇以郵寄形式取代電子通訊。如本同意書中、英文本之解釋或意思有不·同·, 客戶同意以英文本為準。招銀國際環球市場/招銀國際證券已向我·司·解釋本同意書·我·司·聲明我·司·完全明白同意書之內容。

註 8: 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。



Part 2- Client Investment Risk Profile Questionnaire (Corporate)

第二部份、客戶投資風險取向分析問卷 (法團)

Notice to Customer(s) 客戶須知:

1. This questionnaire is designed to help CMBIGM/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, CMBIGM/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. 本問卷用以招銀國際環球市場/招銀國際證券評估貴公司的投資風險取向，並收集有關貴公司的風險取向、財政狀況、投資經驗及投資年期的資料。如貴公司不提供有關資料，招銀國際環球市場/招銀國際證券可能無法處理貴公司的申請。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. CMBIGM/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，招銀國際環球市場/招銀國際證券需要貴公司提供有關財政狀況、投資經驗及投資目標的資料。於做出任何投資決策前，貴公司應考慮自身情況，包括但不限於貴公司的財政狀況、投資經驗及投資目標。於做出任何投資決策前，貴公司應考慮諮詢貴公司的獨立投資顧問。
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 CMBIGM/CMBIS or not, should be taken into account. 有關貴公司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，貴公司在招銀國際環球市場/招銀國際證券之內及本行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貴公司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：貴公司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。貴公司的答案對本問卷的指示性結果有重大影響。請貴公司務必提供有效、真實、完整、準確及最新的資料。如貴公司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. Please circle the most appropriate answer. 請圈出最適合的一項答案。

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

1. How much capital has been reserved for unforeseeable events in terms of monthly operational expenses of your company?
按每月營運開支計算，貴公司預留多少資金作為不時之需？
 - (a) Less than 6-month operational expenses
少於 6 個月的營運資金
 - (b) Less than 12-month operational expenses
少於 12 個月的營運資金
 - (c) Less than 24-month operational expenses
少於 24 個月的營運資金
 - (d) 24-month or above operational expenses
24 個月或以上的營運資金

2. Does your company engage any qualified professional to take part in investment or hedging decision?

貴公司有沒有聘用任何合資格的專業人士參與投資或對沖決定？

- (a) Yes, our company has an independent division or team to manage financial investment.
有·本公司具有獨立部門/團隊去管理金融投資。
- (b) Yes, our company has senior management with professional economics/ finance-related qualifications to make investment or hedging decision.
有·本公司具有跟財經學科相關專業資格的高級管理層·負責投資或對沖決定。
- (c) No, but our company has adequate knowledge on financial investment.
沒有·但本公司在金融投資方面具有足夠知識。
- (d) No, but our company has some knowledge on financial investment.
沒有·但本公司在金融投資方面具有若干知識。
- (e) No, but our company has a little knowledge on financial investment.
沒有·但本公司在金融投資方面具有少許知識。

3. Which of the following is the best one that expresses the attitude of your company toward price fluctuation and returns on financial investment?

以下那一項最佳表達貴公司對金融投資上價格波動及回報的看法？

- (a) In general, our company can only bear less than 5% price fluctuation of financial investment within one year and does not expect considerable returns.
一般來說·本公司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, our company can only bear 5% to less than 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·本公司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, our company 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 the major stock market indexes.
一般來說·本公司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, our company 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 the major stock market indexes.
一般來說·本公司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, our company 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·本公司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。

4. In general cases, how long is the maximum length of the expected investment horizon from your company?

在一般情況下·貴公司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

5. What is the percentage of your company' s surplus that will be set aside for the purpose of financial investment?
貴公司將會分配多少百分比的盈餘作為金融投資用途?
- (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
6. What is the percentage of your company' s net liquid assets that will be set aside for the purpose of financial investment?
貴公司將會分配多少百分比的流動資產淨值作為金融投資用途?
- (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
7. Which of the following is the best one that expresses the principal investment objective of your company?
以下那一項最佳表達貴公司的主要投資目標?
- (a) Capital Preservation - our company principally aims to keep investment loss at a minimum with not much concern on overall returns.
保本為主 - 本公司主要旨在儘量減低投資損失，較少關注整體的回報。
 - (b) Income Oriented - our company principally aims to achieve stable income or counteract inflation.
收入主導 - 本公司主要旨在獲取穩定收入或抵消通脹。
 - (c) Income-and-Growth - our company principally aims to achieve returns from both capital appreciation and stable income.
收入及增長 - 本公司主要旨在獲取來自資本增值及穩定收入的回報。
 - (d) Growth Oriented - our company principally aims to achieve returns that focus on capital appreciation.
增長主導 - 本公司主要旨在獲取以資本增值為主的回報。
 - (e) Aggressive Growth - our company principally aims to achieve higher returns derived from the complex or leveraged investment products.
積極增長 - 本公司主要旨在獲取來自複雜或槓桿投資產品的較高回報。

8. 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年內的交易次數 ^		
			沒有交易 No Transaction	五次以下買賣 Less Than 5 Transactions	五次或以上買賣 5 or More Transactions
(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 [#]) 固定收益証券(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) 固定收益証券(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証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撇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攤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攤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

We 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 our investment risk profile is correctly stated above. 本公司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，並同意及確認上述已正確顯示本公司的投資風險取向。

We hereby agree that this investment risk profile will be captured in CMBIGM/CMBIS' s record, and CMBIGM/CMBIS will adopt the above assessment result for product suitability assessment. 本公司同意此投資風險取向將存於招銀國際環球市場/招銀國際證券記錄，及招銀國際環球市場/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. 招銀國際環球市場/招銀國際證券將就貴公司對整份問卷提供的答案而綜合評估貴公司的投資風險取向，而非取決於問卷內任何單一問題的答案。而貴公司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 CMBIGM/CMBIS 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環球市場/招銀國際證券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:[15

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	
<p><input type="checkbox"/> 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。</p> <p>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.</p>	
虛擬資產知識認知問題 Questions for Knowledge of Virtual Assets	
<p>1. 以下哪項說明虛擬資產相關產品是正確? (可選多於一項。)</p> <p>Which of the following statements about virtual asset related products is TRUE? (Choose more than one answer if appropriate.)</p> <p><input type="checkbox"/> (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</p> <p><input type="checkbox"/> (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</p> <p><input type="checkbox"/> (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</p> <p><input type="checkbox"/> (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</p> <p>2. 下列哪項不是虛擬資產相關產品?</p> <p>Which of the following is NOT a virtual asset related-products?</p> <p><input type="checkbox"/> (a) 功能型代幣 Utility Tokens</p> <p><input type="checkbox"/> (b) 外匯貨幣 Foreign Currencies</p> <p><input type="checkbox"/> (c) 以證券或資產作為支持的代幣 Security or Asset-backed Tokens</p> <p><input type="checkbox"/> (d) 穩定幣 Stablecoins</p> <p>3. 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?</p> <p>Investors MUST have sufficient knowledge of virtual assets, irrespective of whether or not they are embedded with derivative features?</p> <p><input type="checkbox"/> (a) 是 Yes <input type="checkbox"/> (b) 否 No</p> <p>4. 請確認哪項屬於虛擬資產的風險。</p> <p>Please identify the risks of virtual assets.</p> <p><input type="checkbox"/> (a) 流動性風險 Liquidity Risk <input type="checkbox"/> (c) 市場風險 Market Risk</p> <p><input type="checkbox"/> (b) 交易對手風險 Counterparty Risk <input type="checkbox"/> (d) 以上皆是 All of the above</p> <p>5. 「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?</p> <p>"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?</p> <p><input type="checkbox"/> (a) 是 Yes <input type="checkbox"/> (b) 否 No</p>	
客戶聲明 Customer Declaration	
<p>1. 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。</p> <p>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.</p> <p>2. 本人/我們確認所提供的表格資料在提供時均屬真實，並承諾於資料有任何變動及時通知招銀國際。</p> <p>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.</p> <p>3. 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。</p> <p>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.</p>	

評估結果 Assessment Result (由職員填寫 To be completed by staff:)	
總分數 Total Score:[<u> 1/5 </u>	及格 Pass: <u> 是 Yes / 否 No </u>



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

第五部份、共同申報標準-自我證明表格 (實體)

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，應盡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. 除不適用或特別註明外，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 (*) 的項目為申報財務機構須向稅務局申報的資料。

Part 1 Identification of Entity Account Holder

第 1 部 實體帳戶持有人的身分識別資料

(1) Legal Name of Entity or Branch 實體或分支機構的法定名稱 *

(2) Jurisdiction of Incorporation or Organization 實體成立為法團或設立所在的稅務管轄區

(3) Hong Kong Business Registration Number 香港商業登記號碼

(4) Current Business Address 現時營業地址

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 1 行 (例如：室、樓層、大廈、街道、地區)

Line 2 (City) 第 2 行 (城市) *

Line 3 (e.g. Province, State) 第 3 行 (例如：省、州)

Country 國家 *

Post Code/ZIP Code 郵遞區號/郵遞區號碼 *

(5) Mailing Address 通訊位址 (Complete if different to the current business address 如通訊地址與現時營業地址不同，填寫此欄)

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 1 行 (例如：室、樓層、大廈、街道、地區)

Line 2 (City) 第 2 行 (城市) *

Line 3 (e.g. Province, State) 第 3 行 (例如：省、州)

Country 國家 *

Post Code/ZIP Code 郵遞區號/郵遞區號碼 *

Part 2 Entity Type (Tick one of the appropriate boxes and provide the relevant information.)
第 2 部 實體類別 (在其中一個適當的方格內加上剔號，並提供有關資料。)

Financial Institution 財務機構	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司。 <input type="checkbox"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity' s assets) and located in a non-participating jurisdiction 投資實體。但不包括由另一財務機構管理 (例如：擁有酌情權管理投資實體的資產) 並位於非參與稅務管轄區的投資實體。
Active Non-Financial Entity (NFE) 主動非財務實體	<input type="checkbox"/> NFE the stock of which is regularly traded on 該非財務實體的股票經常在 _____ which is an established securities market (一個具規模證券市場) 進行買賣 <input type="checkbox"/> Related entity of _____ 的有關連實體，the stock of which is regularly traded on 該有關連實體的股票經常在 _____ which is an established securities market (一個具規模證券市場) 進行買賣 <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="checkbox"/> Active NFE other than the above 除上述以外的主動非財務實體 (Please specify 請說明)
Passive Non-Financial Entity (NFE) 被動非財務實體	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位於非參與稅務管轄區並由另一財務機構管理的投資實體 <input type="checkbox"/> NFE that is not an active NFE 不屬主動非財務實體的非財務實體

Part 3 Controlling Persons (Complete this part if the entity account holder is a passive NFE
第 3 部 控權人 (如實體帳戶持有人是被動非財務實體，填寫此部)

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. 就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。

Complete IR1457 form (Self-Certification Form – Controlling Person) for each controlling person. 每名控權人須分別填寫一份 IR1457 表格 (自我證明表格 – 控權人) 。

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

Part 4 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) *
第 4 部 居留司法管轄區及稅務編號或具有等同功能的識辨編號 (以下簡稱「稅務編號」) *

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

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number 如帳戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated. 如果帳戶持有人並非任何稅務管轄區的稅務居民 (例如：它是財政透明實體)，填寫實際管理機構所在的稅務管轄區。

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。如選取此一理由，解釋帳戶持有人不能取得稅務編號的原因。

Reason 理由 C TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed. 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

Part 5 Declarations and Signature

第 5 部 聲明及簽署

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

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

本人證明，就與本表格所有相關的帳戶，本人獲帳戶持有人授權簽署本表格。

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

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete. 本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature

簽署

Name

姓名

Capacity

身份

Date 日期

(dd 日/mm 月/yyyy 年)

(e.g. director or officer of a company, partner of a partnership, trustee of a trust etc.) (例如：公司的董事或高級人員、合夥的合夥人、信託的受託人等)

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000). 警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級 (即\$10,000) 罰款。

Part 6- Common Reporting Standard – Self Certification Form (Controlling Person) (If Applicable) 第六部份、共同申報標準-自我證明表格 (控權人) (如適用)

Important Notes 重要提示：

- This is a self-certification form provided by a controlling person 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. 這是由控權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。
- A controlling person should report all changes in his/her tax residency status to the reporting financial institution. 如控權人的稅務居民身分有所改變，應盡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. 除不適用或特別註明外，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 (*) 的項目為申報財務機構須向稅務局申報的資料。

Part 1 Identification of Controlling Person

第 1 部 控權人的身分識辨資料

(1) Name of Controlling Person 控權人的姓名

Title (e.g. Mr, Mrs, Ms, Miss) 稱謂 (例如：先生、太太、女士、小姐)

Last Name or Surname 姓氏 *

First or Given Name 名字 *

Middle Name(s) 中間名

(2) Hong Kong Identity Card or Passport Number 香港身份證或護照號碼

(3) Other ID Type and Number 其他身份證明文件類別及號碼

(4) Current Residence Address 現時住址

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 1 行 (例如：室、樓層、大廈、街道、地區)

Line 2 (City) 第 2 行 (城市) *

Line 3 (e.g. Province, State) 第 3 行 (例如：省、州)

Country 國家 *

Post Code/ZIP Code 郵政編碼/郵遞區號碼 *

(5) Mailing Address 通訊地址 (Complete if different to the current residence address 如通訊地址與現時住址不同，填寫此欄)

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 1 行 (例如：室、樓層、大廈、街道、地區)

Line 2 (City) 第 2 行 (城市) *

Line 3 (e.g. Province, State) 第 3 行 (例如：省、州)

Country 國家 *

Post Code/ZIP Code 郵政編碼/郵遞區號碼 *

(6) Date of Birth 出生日期 * (dd 日 / mm 月 / yyyy 年)

(7) Place of Birth 出生地點 (Not compulsory 可不填寫)

Town/City 鎮/城市

Province/State 省/州

Country 國家

Part 2 The Entity Account Holder(s) of which you are a controlling person (Enter the name of the entity account holder of which you are a controlling person.)

第 2 部 你作為控權人的實體帳戶持有人 (填寫你作為控權人的實體帳戶持有人的名稱。)

Entity 實體	Name of the Entity Account Holder 實體帳戶持有人的名稱
(1)	
(2)	
(3)	

Part 3 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") *

第 3 部 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 controlling person is a resident for tax purposes and (b) the controlling person' s TIN for each jurisdiction indicated. Indicate all (not restricted to five) the jurisdictions of residence. 提供以下資料，列明 (a) 控權人的居留司法管轄區，亦即控權人的稅務管轄區 (香港包括在內) 及 (b) 該居留司法管轄區發給控權人的稅務編號。列出所有 (不限於 5 個) 居留司法管轄區。

If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. 如控權人是香港稅務居民，稅務編號是其香港身份證號碼。

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

Reason 理由 A The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents. 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason 理由 B The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason. 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

Reason 理由 C TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed. 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

Part 4 Type of Controlling Person (Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2.)
第 4 部 控權人類別 (就第 2 部所載的每個實體，在適當方格內加上剔號，指出控權人就每個實體所屬的控權人類別。)

Type of Entity 實體類別	Type of Controlling Person 控權人類別	Entity 實體 (1)	Entity 實體 (2)	Entity 實體 (3)
Legal Person 法人	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 擁有控制股權的個人 (即擁有不少於百分之二十五的已發行股本)			
	Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途徑行使控制權或有權行使控制權的個人 (即擁有不少於百分之二十五的表決權)			
	Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity 擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人			
Trust 信託	Settlor 財產授予人			
	Trustee 受託人			
	Protector 保護人			
	Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員			
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他 (例如：如財產授予人/受託人/保護人/受益人/受益人為另一實體,對該實體行使控制權的個人)			

Type of Entity 實體類別	Type of Controlling Person 控權人類別	Entity 實體 (1)	Entity 實體 (2)	Entity 實體 (3)
Legal Arrangement other than Trust 除信託以外的法律安排	Individual in a position equivalent/similar to settlor 處於相等/相類於財產授予人位置的個人			
	Individual in a position equivalent/similar to trustee 處於相等/相類於受託人位置的個人			
	Individual in a position equivalent/similar to protector 處於相等/相類於保護人位置的個人			
	Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 處於相等/相類於受益人或某類別受益人的成員位置的個人			
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary) 其他 (例如：如處於相等/相類於財產授予人/受託人/保護人/受益人/受益人為另一實體,對該實體行使控制權的個人)			

Part 5 Declarations and Signature

第 5 部 聲明及簽署

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

本人知悉及同意，財務機構可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人 / 本人獲帳戶持有人授權簽署本表格 #。本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知招銀國際環球市場/招銀國際證券，並會在情況發生改變後 30 日內，向招銀國際環球市場/招銀國際證券提交一份已適當更新的自我證明表格。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete. 本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature

簽署

Name

姓名

Capacity

身份

(e.g. director or officer of a company, partner of a partnership, trustee of a trust etc.) (例如：公司的董事或高級人員、合夥的合夥人、信託的受託人等)

Date 日期

(dd 日/mm 月/yyyy 年)

Delete as appropriate 請刪去不適用者

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000). 警告：根據《稅務條例》第 80(2E) 條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級 (即\$10,000) 罰款。



Part 7- Board Resolution (If Applicable)

第七部份、董事決議案 (如適用)

Company Name 公司名稱 : _____
Minutes of a meeting of the board of the company duly held at 董事會會議於 _____ (Venue 地點) on _____ (Date & Time 日期及時間) 召開 of which the quorum was present and acting throughout the meeting. 是次會議於整個會議期間一直保持足夠法定人數。

Present 出席者 : (Chairman 主席) _____
(Director(s) 董事) _____

Opening Securities Trading Account(s) with CMBIGM/CMBIS 於招銀國際環球市場/招銀國際證券開立證券及交易帳戶

IT WAS RESOLVED THAT 會議決議 :

- Securities trading account(s) (the "Accounts") be opened and maintained with CMBIGM/CMBIS (CMBIGM/CMBIS) in accordance with such terms and conditions may from time to time prescribe for the Account(s), among which the Cash Client' s Agreement, Margin Client' s Agreement, Stock Options Trading Agreement and other related documents are tabled and considered by the Directors. 於招銀國際環球市場/招銀國際證券開立和維持證券及交易帳戶 ("帳戶"), 並按招銀國際環球市場/招銀國際證券不時規定有關帳戶的條款和細則開立及維持 ; 當中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股票期權交易協議及其他相關文件已在會議上呈述並給予董事考慮。
- Any _____ of following persons be and are/is hereby appointed as Authorized Signers (the "Authorized Signatories") and be authorized 以下任何 _____ 位人士被任命為本公司之授權簽署人 ("授權簽署人") . 並獲授權
 - to sign, execute and deliver all agreements consents, letter of instructions or other documents required by CMBIGM/CMBIS for the settlement of securities transactions with CMBIGM/CMBIS in connection with the opening of the Account(s). 簽署、執行及提交所有招銀國際環球市場/招銀國際證券要求與開立帳戶以用作證券合約交易結算有關之所有協議、批准、委託書或其他文件 ;
 - to withdraw or transfer any money, securities, collateral or other property into or out of the Account(s); and 提取或轉移於帳戶內任何金錢、證券、抵押品或其他財產 ; 及
 - to make, execute and deliver all written endorsements and documents and to use the company chop (if applicable) necessary to effect the authority conferred by this resolution: 作出、執行及提交所有必需的書面批註和文件並 (如適用) 使用公司印章以執行此決議案所授予之權力

		Authorized Signatories 授權簽署人 (1)	Authorized Signatories 授權簽署人 (2)
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			
Identity Document Types 身份證明文件類別	<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 9) <input type="checkbox"/> PRC ID Card 中華人民共和國居民身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Others 其他 :	<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 9) <input type="checkbox"/> PRC ID Card 中華人民共和國居民身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Others 其他 :	
註 9: Please provide your passport to prove your nationality. 請提供你的護照以證明國籍。			
ID/ Passport No 身份證明文件號碼			
Place of Issue 簽發地			
Residential Address 住宅地址			
Title 職位			
Contact No. +Country Code-Area Code-Phone No. 聯絡電話 +國家代碼-地區代碼-電話號碼			
E-mail address 電郵地址			

Specimen Signature 簽署樣本		
-------------------------	--	--

Company Chop (If Applicable) 公司印章 (如適用)
--

3. Any ___ of the following persons be and are/is hereby appointed as Trading Representative(s) of the company (the "Trading Representative") and be authorized to give orders or trading instruction to CMBIGM/CMBIS, whether in writing, verbally or otherwise, in respect of any transactions of the Account(s) on behalf of and in the name of the company.

以下任何___位人士被任命為本公司之交易代表 ("交易代表") · 並獲授權以本公司名義對帳戶的任何交易以書面、口頭或其他形式向招銀國際環球市場/招銀國際證券發出指示或交易指令。

		Trading Representative 交易代表 (1)	Trading Representative 交易代表 (2)
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			
Identity Document Types 身份證明文件類別		<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 10) <input type="checkbox"/> PRC ID Card 中華人民共和國居民身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Others 其他：	<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 10) <input type="checkbox"/> PRC ID Card 中華人民共和國居民身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Others 其他：
註 10: Please provide your passport to prove your nationality. 請提供你的護照以證明國籍。			
ID/ Passport No 身份證明文件號碼			
Place of Issue 簽發地			
Residential Address 住宅地址			
Title 職位			
Contact No. +Country Code-Area Code-Phone No. 聯絡電話 +國家代碼-地區代碼-電話號碼			
E-mail address 電郵地址			
Specimen Signature 簽署樣本			

CERTIFICATE 聲明

I/We, the undersigned, hereby certify that the foregoing is a full, true and correct copy of the resolutions duly and regularly passed and adopted by the Board of Directors of our company on the date stated therein; that the said resolution appear in the minutes of our company; and that the same have not been rescinded or modified and are now in full force and effect. I/We, the undersigned, further certify that our company is duly organized and existing, and has the power to take the action called for in the foregoing resolution. 本人/吾等即下述簽署人·謹此證明前述決議內容均為完整、真實及準確之副本，且已獲得到本公司董事會正式通過·妥當地備存於公司會議紀錄內·當中並無任何撤銷或修改·該決議案全面生效及有效。我司即下述簽署人·謹此證明本公司為合法成立並存續·且擁有權力採取前述決議。

Chairman Signature & Date

主席簽署及日期：

X



Part 8- Appointment of Process Agent (If Applicable)

第八部份、法律文件接收人委任書 (如適用)

To : CMB International Global Markets Limited/CMB International Securities Limited

致 : 招銀國際環球市場有限公司/招銀國際證券有限公司

We/I, the undersigned account holder, refer to the account(s) that we/I are/am maintaining with CMBIGM/CMBIS, which is subject to the Account Opening Agreement signed by us/me, the Cash Client Agreement, Margin Client Agreement and Stock Options Trading Agreement which may be amended and/or supplemented by CMBIGM/CMBIS from time to time, the Personal Data Privacy Statement, Risk Disclosure Statement and all other agreements and documents in relation and ancillary thereto (collectively the "Account Agreements").

本函乃涉及吾等/本人，即以下簽署之戶口持有人，在招銀國際環球市場/招銀國際證券開設之戶口。該戶口受到吾等/本人簽署之開戶協議、招銀國際環球市場/招銀國際證券發出及不時修訂及/或補充之現金客戶協議、保證金客戶協議、股票期權交易協議、個人資料保障聲明書、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 CMBIGM/CMBIS. Nothing herein shall affect the right of CMBIGM/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環球市場/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環球市場/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 9- Acknowledgement by Client 第九部份、客戶聲明

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

We understand and agree that CMBIGM/CMBIS only acts as an execution broker and provides execution services to us by executing the orders placed by our designated Asset Manager (the "AM") on behalf of us. 我司清楚明白且同意招銀國際環球市場/招銀國際證券將以執行買賣盤的經紀身分行事，並透過執行我所委託的資產管理公司代表我所發出的買賣盤指示，向我司提供執行買賣盤服務。

1. CMBIGM/CMBIS merely provides order execution and custody services to us and has no day-to-day contact or direct communication with us. 招銀國際環球市場/招銀國際證券作為執行買賣盤的經紀僅向我司提供買賣盤執行和託管服務，日常不會與我司聯絡或直接溝通。 CMBIGM/CMBIS does not do any of the followings (including but not limited to) 招銀國際環球市場/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 our trades 就我所買賣提供建議；
 - manages our investment portfolio, and 管理我的投資組合；及
 - handles our enquiries on complex products or our requests to trade complex products etc. 處理我就複雜產品所作出的查詢或買賣複雜產品的要求等。
2. CMBIGM/CMBIS has agreed in writing with the AM that 招銀國際環球市場/招銀國際證券已與我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 our order to be executed 若我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我所買賣盤前，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 us and providing sufficient product information and warning statements in respect of the complex product to us before transmitting our order to be executed 若我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我所買賣盤前，有責任確保就某複雜產品進行的交易適合我，並就該複雜產品向我提供充足的產品資料和警告聲明；and 及
 - (iii) CMBIGM/CMBIS is not responsible for ensuring suitability of the order transmitted by the AM or providing product information and warning statements to us. 招銀國際環球市場/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，或向吾等提供產品資料和警告聲明。

We confirm and represent that the information on this Account Opening Agreement and documents provided in connection with this application is true, complete and correct and that the representations as stated herein are accurate. CMBIGM/CMBIS is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any changes to the Account Opening Agreement. CMBIGM/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 Account Opening Agreement. 我在此確認在開戶協議所提供的資料及文件全部為真實、完整和正確，以及當中的陳述均屬準確。除非招銀國際環球市場/招銀國際證券接到更改有關本資料表格內容的書面通知，否則招銀國際環球市場/招銀國際證券可完全依賴這些資料及陳述做一切用途。客戶授權招銀國際環球市場/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，核實本開戶協議內的資料及陳述。

Pursuant to FATCA or applicable local laws, We hereby consent to CMBIGM/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，我同意向招銀國際環球市場/招銀國際證券匯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。

We agree and confirm the Specimen Signature(s) as provided in the Board Resolution will be used to verify all written instructions given relating to the operation of the Account(s). 我同意並確定在董事決議案中的簽署樣本將被用作核證任何就帳戶運作之書面指示。

We, the undersigned Client, acknowledge and confirm that we have read, understood and accepted the provisions of the Cash Client's Agreement, Margin Client's Agreement, Stock Options Trading 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. We have been referred to the Cash Client's Agreement, Margin Client's Agreement, Stock Options Trading 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 our choice and that we are invited to read the Cash Client's Agreement, Margin Client's Agreement, Stock Options Trading 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 we wish. 我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、股票期權交易協議及其他相關文件及條款，包括但不限於內含風險披露聲明及個人資料保障聲明書，並且同意受不時經修改及/或補充的該等文件所約束。我亦已獲展示客戶帳戶協議內中英文本的現金客戶協議書、保證金客戶協議書、股票期權交易協議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書，及獲以下職員按照我司所選擇的語言解釋明白；及我司已獲邀閱讀現金客戶協議書、保證金客戶協議書、股票期權交易協議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書，提出問題及徵求獨立的意見（如我司有此意願）。

Signature with Company Chop (If applicable) 客戶簽名加蓋公司印章 (如適用)

Name of Signatories 簽字人姓名

Date 日期

Witness 見證人

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

見證人的見證：本人已見證及驗證上述客戶之簽署及有關其身份證明文件之正本。

Name of Witness 見證人姓名	Witness Signature 見證人簽署	Date 日期
Address 見證人地址		Occupation 見證人職業

The qualified witnesses include any licensed or registered person in CMBI, Justice of the Peace (JP), certified public accountant, 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

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

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

Internal Use Only 內部使用

I 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"/> 職員 <input type="checkbox"/> 其他 (請注明) _____ 電話 _____ 網上 _____ (審批 _____)			
客戶主任/經理簽署 _____		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 O			
分行 (分行名稱/分行號)：	/	網點 (網點名稱/網點號)：	/
若為行內客戶請提供客戶招行銀行卡資料：			
一卡通：	客戶經理確認簽名：		
資料輸入/日期	資料查核/日期		
I 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 —