

招銀國際期貨有限公司（“招銀國際期貨”）

CMB International Futures Limited (CMBIF)

# Account Opening Agreement-Individual

開戶協議-個人

招銀國際期貨有限公司 (ACQ651)  
香港中環花園道 3 號  
冠君大廈 45 樓

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CMB International Futures 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 Client' s Account Agreement, Risk Disclosure Statement, Personal Data Protection Statement, Market Data Subscription Agreement and other related documents provided by CMBIF; and shall be effective after signing by the client(s) on the relevant forms and approved by CMBIF. 本開戶協議由如下文件及隨附的客戶帳戶協議、風險披露聲明、個人資料保障聲明、市場資料訂閱協定及其他招銀國際期貨提供之相關文件組成，於客戶簽署相關表格及招銀國際期貨批准後生效。

1. ACCOUNT INFORMATION  
帳戶資料
2. DERIVATIVES KNOWLEDGE ASSESSMENT  
衍生工具知識評估
3. KNOWLEDGE OF VIRTUAL ASSETS ASSESSMENT  
虛擬資產知識認知評估
4. COMMON REPORTING STANDARD (CRS) - SELF DECLARATION FORM-INDIVIDUAL  
共同申報準則- 自我證明表格 – 個人
5. APPOINTMENT OF PROCESS AGENT (If Applicable)  
法律文件接收人委任書 ( 如適用 )
6. Customer Consent to Use of Information  
客戶資料使用同意書
7. 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 Client' s Account 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、隨附的客戶帳戶協議及相關的文件及條款。

## Part 1-Account Information

### 第一部份-帳戶資料

#### Account Type 帳戶類別

<input checked="" type="checkbox"/> Hong Kong Futures Exchange Account 香港期交所帳戶  <input type="checkbox"/> Non- Hong Kong Futures Exchange Account 非香港期交所帳戶  <input checked="" type="checkbox"/> I/We agree to register all existing trading channels to conduct the selected futures services above. I/We have read and agreed to the Client' s Account Agreements and all related documents. 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期貨服務。本人/吾等已閱讀並同意客戶帳戶協議及所有相關文件。帳戶號碼及密碼將發送至本人/吾等登記之電郵地址。
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#### Identity of Client 客戶身份

<input type="checkbox"/> Individual Account 個人帳戶	<input type="checkbox"/> Joint Account 聯名帳戶
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#### Client Information 客戶資料

- ☐ Regarding the changes of all account information for "CMBIS" (if applicable), I/We agree to CMBIF to transfer and deliver all information collected as well as this form to "CMBIS" for updating the relevant information of all my accounts with CMBIS. 對於有關「招銀國際証券」所有帳戶資料的更改（如適用），本人/吾等同意招銀國際期貨將收集的資料及此表格轉送招銀國際証券作所有帳戶資料更新之用。

		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		
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 1) <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 1) <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：	
ID/ Passport No 身份證明文件號碼			
Place of Issue 簽發地			
ID/ Passport No Expiry Date(dd/mm/yyyy) 身份證明文件到期日			
Date of Birth (dd/mm/yyyy) 出生日期			
Place of Birth 出生地點			
Nationality 國籍			

註 1: Please provide your passport to prove your nationality. 請提供你的護照以證明國籍。

	Account Holder 帳戶持有人(A)	Account Holder 帳戶持有人(B)
<b>Education Level</b> 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)
<b>Purpose of Account Opening</b> 開戶目的	<input type="checkbox"/> Investment 投資 <input type="checkbox"/> Others, please specify 其他·請註明	<input type="checkbox"/> Investment 投資 <input type="checkbox"/> Others, please specify 其他·請註明
<b>Monthly expected Investment Amount in CMBIF</b> 每月預計於招銀國際期貨的投資金額 The expected investment amount includes the aggregate value of unit price of purchased futures contract, future option contracted value and etc. 預計投資金額包括購入的期貨合約的單價總值·期貨期權的合約價值等。	<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
<b>U.S. citizen or a U.S. tax resident</b> 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 CMBIF. 本人不會交易美股或透過招銀國際期貨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 CMBIF. 本人不會交易美股或透過招銀國際期貨在美國證券市場進行交易。 <input type="checkbox"/> No 否
<b>Residential Address</b> 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
<b>Correspondence Address</b> 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 5-Appointment of Process Agent]. 如未能提供香港地址(非郵政信箱)·必須填寫[第五部份·法律文件接收人委任書]。		
<b>E-mail Address</b> 電子郵箱	*	
* This E-mail address will be registered to receive to receive notification on system login, trade execution and password reset if you have subscribed for the online trading service. 如有開通網上交易服務·此, 電子郵箱將登記用作接收系統登入、交易執行及變更密碼通知。		
<b>Tel. No.</b> 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
<b>Mobile</b> 手提電話 +Country Code-Area Code-Phone No +國家代碼-地區代碼-電話號碼	1* 2	1 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。		
<b>Tel. No. (Office)</b> 辦公室電話 +Country Code-Area Code-Phone No +國家代碼-地區代碼-電話號碼		
<b>Relationship with Account Holder (A)</b> 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)
<b>Employment Status/Position</b> 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 2) <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 2) <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
<b>Name of Employer</b> 僱主名稱		
<b>Industry</b> 行業		
<b>Years of Service</b> 服務年數		
<b>Annual Income(HKD)</b> 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"/> \$200,001 to 至 \$10,000,000 <input type="checkbox"/> \$1,000,001 to 至 \$5,000,000 <input type="checkbox"/> \$5,000,001 or above 或以上
<b>Source of Funds</b> 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
<b>Source of Wealth</b> 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 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 or Assets 售賣物業或資產 <input type="checkbox"/> Others, please specify 其他，請註明
<b>Liquid Assets Held (HKD) (including Cash,            Deposit and short term investments etc.)</b> 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
<b>Net Worth Held (HKD) ('Total Assets'            minus 'Total Liabilities', excluding the            value of your self-occupied property)</b> 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

註 2: Please provide information of self-employed business nature 請提供自僱業務性質的資料

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

	Account Holder 帳戶持有人(A)	Account Holder 帳戶持有人(B)
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**

Is Client a director or an employee of a person registered or licensed with HK Securities and Futures Commission? 此帳戶最終權益擁有人及 / 或就此帳戶進行交易的最終負責人士，是否是香港證監會的持牌或註冊人士，或任何持牌法團或註冊機構的董事或職員？	<input type="checkbox"/> Yes 是 Name of employer 僱主名稱：_____ CE No 中央編號：_____ <small>(Please provide a consent letter issued by the employer. 請提供僱主同意開戶證明。)</small> <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 Name of employer 僱主名稱：_____ CE No 中央編號：_____ <small>(Please provide a consent letter issued by the employer. 請提供僱主同意開戶證明。)</small> <input type="checkbox"/> No 否
Are you an employee of China Merchants Bank? 您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? 您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? 您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

## 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)

I 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)		
I 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)		

## Futures Quote Service Application 期貨報價服務 (註 3 及 4)申請

Exchange 交易所	Delayed 延遲報價	□ Non-Professional Subscribed 非專業人員 (註 5)		Professional Subscribed 專業人員
		Top of book 買價/賣價 (Monthly 每月) (註 6 及 7)	Market Depth 買價/賣價及價格深度 (Monthly 每月) (註 6 及 7)	Real Time 即時報價 (Monthly 每月) (註 6 及 7)
CBOT 芝加哥期貨交易所	Free 免費	<input type="checkbox"/> US 美元\$ 1	<input type="checkbox"/> US 美元\$ 5	<input type="checkbox"/> US 美元\$ 105
CME 芝加哥商品交易所	Free 免費	<input type="checkbox"/> US 美元\$ 1	<input type="checkbox"/> US 美元\$ 5	<input type="checkbox"/> US 美元\$ 105
COMEX 紐約商品交易所	Free 免費	<input type="checkbox"/> US 美元\$ 1	<input type="checkbox"/> US 美元\$ 5	<input type="checkbox"/> US 美元\$ 105
NYMEX 紐約商業交易所	Free 免費	<input type="checkbox"/> US 美元\$ 1	<input type="checkbox"/> US 美元\$ 5	<input type="checkbox"/> US 美元\$ 105
全部 4 個交易所	Free 免費	<input type="checkbox"/> US 美元\$ 3	<input type="checkbox"/> US 美元\$ 15	不適用

註 3: This Futures Quote Service is solely for your personal and non-commercial use and for your reference only. CMBIF endeavors to ensure the accuracy and reliability of the information but does not guarantee its accuracy or reliability and accept no liability (whether in tort or contract or otherwise) for any losses or damages arising from any inaccuracies or omissions. 此報價服務只供個人或團體作非商業用途及僅供參考之用。招銀國際期貨竭力提供準確及可靠的資料，但對其準確性及可靠性既不作任何保證，亦不負責因報價系統錯漏或延時而導致之任何損失。

註 4: CMBIF reserves the right to amend the Terms & Conditions relevant to the Service without prior notice. 招銀國際期貨保留隨時更改有關服務及收費之權利而不作另行通知。

註 5: Please refer and read the "Non-Professional" definition under Appendix 5 (Non Professional Self-Certification Form) in the Client's Account Agreement and make your declaration by checking the appropriate box. 請仔細閱讀客戶帳戶協議附件五、非專業人員自我證明書所述非專業人員的資格條件，並就自身所屬類別在適當空格內作出確認。

註 6: The Futures Quote Service is charged on a calendar month basis. Full month rate will be charged regardless of commencement date of service. You can terminate the Service by giving CMBIF a prior written notice (Fax or Email) at least 3 business days before the effective date. 即時報價服務申請以自然月計算，不足一個月亦以一個月收費，自你提交此申請開始計算費用。如要終止使用此報價服務，你必需於生效日或終止日之前的至少三個工作天，以傳真或電郵方式書面通知招銀國際期貨。

註 7: You are deemed to have agreed that your Futures account will be debited in advance monthly. Please maintain a credit balance and sufficient funds in the relevant Futures account. 你同意即時報價服務以每月方式，從你的期貨帳戶預先扣款，請你必須保留足夠資金。

## Method of Communication 通訊方法

Trade Confirmation & Statements & Notices  
交易確認及結單單據

- ☒ E-mail address / SMS 電子郵箱 / 手機短訊  
(The channel of notification will be different from the one used for system login)  
(Default) (發出通知的途徑，將與登入系統時所使用途徑不同) (預設)
- ☐ 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 clauses of [Client' s Consent-Electronic Communication]. 如你同意 [客戶同意書 - 電子通訊]之條款，請剔選以下方格。)

- ☒ I/We the undersigned client, hereby consent to CMB International Futures Limited (CMBIF) providing all notices, statements, trade confirmations and other communications by CMBIF to me/us through electronic communication and I/We hereby request, instruct and authorize CMBIF to transmit, release and send all notices, statements, contract notes and other communications (the "Communications") to me/us at my/our designated e-mail address as specified. I/We, acknowledge and accept the risks of receiving the Communications via electronic communications, including but not limited to the risks as set out in the Client' s Account Agreement and other related documents and terms and agree and undertake to hold CMBIF 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 CMBIF' s provision of Communications via electronic communication. I/We understand I/We can only choose either receiving the Account statement via physical mail or via electronic communication. Once choosing electronic communication service, I/We will not receive physical contract note and physical account statement by mail. I/We undertake to notify CMBIF of any changes in my/our email address. If CMBIF got two successive messages in relation to failure of sending the statement to my/our email address electronically, CMBIF has the right to send the statement to me/us via physical mail instead. In the event of any difference in interpretation or meaning between the English and Chinese version of this Consent, the Client agrees that the English version shall prevail. CMBIF has explained to me/us, and I/we acknowledge and agree to, the content of this consent. 本人/吾等，以下簽署之客戶，謹此同意招銀國際期貨有限公司（招銀國際期貨）通過電子通訊向本人 / 吾等以本人 / 吾等所指定之電子郵箱寄發成交單據及其它通訊（該等通訊）。本人/吾等確認及接受通過電子通訊的風險，包括但不限於載於客戶帳戶協議書及其他相關檔及條款中所列的風險，並同意及承諾免除招銀國際期貨因招銀國際期貨通過電子服務提供該等通訊而令本人 / 吾等產生、蒙受及/或承受的一切虧損、損失、利息、費用、開支、法律訴訟、付款、索償等等的責任。本人/吾等明白本人/吾等只可從郵寄帳單或電子通訊選擇其一，一經選用電子通訊，本人/吾等將不會收到郵件形式寄發之成交單及月結單。於本人 / 吾等選用電子通訊期間，本人/吾等將第一時間通知招銀國際期貨有關本人 / 吾等電子郵箱的變更。假若招銀國際期貨寄發電子帳單後連續兩次收到錯誤之通訊，招銀國際期貨可選擇以郵寄形式取代電子通訊。如本同意書中、英文本之解釋或意思有不相同，客戶同意以英文本為準。招銀國際期貨已向本人/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 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。詳情請見官網上之收費表。

### 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 CMBIF account executive 請暫停進行帳戶申請，並諮詢你的招銀國際期貨客戶經理)





## Part 2- Derivatives Knowledge Assessment

### 第二部份-衍生工具知識評估

This questionnaire serves to help CMB International Futures 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期貨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。

1. Do you read carefully and understand the features of and risks associated with the derivative products as documented in the Client's Account Agreement-Schedule 3-Explanation of Risks associated with Exchange-Traded Derivative Products? 你已經仔細閱讀及明白載於《客戶帳戶協議-附表 3-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?	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有
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?	<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
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?	<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
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?	<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
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?	<input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Leverage 杠杆 <input type="checkbox"/> Redemption/Switching 贖回轉換

客戶聲明 Customer Declaration	
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.
2.	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.
3.	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:[ <u>15</u> ]	及格 Pass : <u>是 Yes / 否 No</u>



## Part 3- Knowledge of Virtual Assets Assessment

### 第三部份-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	
1.	<p>以下哪項說明虛擬資產相關產品是<u>正確</u>？(可選多於一項。)</p> <p>Which of the following statements about virtual asset related products is <u>TRUE</u>? (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>
2.	<p>下列哪項<u>不是</u>虛擬資產相關產品？</p> <p>Which of the following is <u>NOT</u> 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>
3.	<p>無論虛擬資產相關產品是否涉及衍生工具特性，投資者<u>必需</u>具備虛擬資產知識？</p> <p>Investors <u>MUST</u> 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>
4.	<p>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>
5.	<p>「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	
1.	<p>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>
2.	<p>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>
3.	<p>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 4- Common Reporting Standard – Self Certification Form (Individual)

### 第四部份-共同申報標準-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. 這是由帳戶持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 如帳戶持有人是香港稅務居民，稅務是其香港身份證號碼。

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

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

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

#### 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 CMBIF for the purpose of automatic exchange of financial account information, and 招銀國際期貨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 CMBIF 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。
- advise CMBIF 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 CMBIF 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份，或引致本表格所載的資料不正確，通知招銀國際期貨，並會在情況發生改變後 30 日內，向招銀國際期貨提交一份已適當更新的自我證明表格。
- 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 5- Appointment of Process Agent (If Applicable)

### 第五部份-法律文件接收人委任書 (如適用)

To : CMB International Futures Limited

致：招銀國際期貨有限公司

We/I, the undersigned account holder, refer to the futures trading / margin financing account that we/I are/am maintaining with CMB International Futures Limited ("CMBIF"), which is subject to the Account Opening Agreement signed by us/me, the Client's Account Agreement which may be amended and/or supplemented by CMBIF from time to time, Risk Disclosure Statement, the Personal Data Privacy Statement, Market Data Subscription Agreement 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，在招銀國際期貨有限公司（“招銀國際期貨”）開設之期貨買賣/孖展戶口。該戶口受到吾等/本人簽署之開戶協議、招銀國際期貨發出及不時修訂及/或補充之客戶帳戶協議、風險披露聲明、個人資料保障聲明、市場資料訂閱協定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 CMBIF. Nothing herein shall affect the right of CMBIF 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”）因期貨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期貨之前，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期貨行使其權力，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 6- Customer Consent to Use of Information

### 第六部份-客戶資料使用同意書

本人/吾等確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

[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 7 - Acknowledgement by Client

### 第七部份-客戶聲明

I/We do not wish the CMB International Futures Limited to use my/our personal data in direct marketing via the following channel(s) (please use "✓" to select the channel(s)) 本人/吾等不欲招銀國際期貨有限公司使用本人/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 Futures Limited (CMBIF)'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期貨有限公司 (招銀國際期貨) 任何形式的直銷推廣。

☐ To improve and provide more comprehensive services to our customers, CMBIF 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, futures, 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期貨的客戶, 招銀國際期貨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、期貨、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 CMBIF to provide your personal data to the above persons for the above purposes. 若您不欲招銀國際期貨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 CMBIF and its holding companies, branches, subsidiaries, representative offices and affiliates, wherever situated. Affiliates include branches, subsidiaries, representative offices and affiliates of CMBIF's holding companies, wherever situated. \*「本集團」指招銀國際期貨及其控股公司、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 CMBIF'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 CMBIF 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 CMBIF's Personal Data Privacy Statement. Please also refer to the said Statement 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, 以及對招銀國際期貨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期貨的選擇。請注意, 閣下以上的選擇適用於根據招銀國際期貨的「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。請閣下參考該聲明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 Futures Limited (CMBIF) is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. CMBIF 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。除非招銀國際期貨有限公司 (招銀國際期貨) 接到更改有關本資料表格內容的書面通知, 否則招銀國際期貨可完全依賴這些資料及陳述做一切用途。客戶授權招銀國際期貨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 CMBIF 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期貨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, the undersigned Client, acknowledge and confirm that I/We have read and understood and accepted the provisions of the Client's Account Agreement and other related documents and terms, including (inter alia) the Risk Disclosure Statement, Personal Data Protection Statement and Market Data Subscription Agreement, 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 Client's 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 Client's 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客戶帳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、個人資料保障聲明及市場資料訂閱協定, 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客戶帳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 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

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 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

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:			
<p>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）。</p> <p>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。</p>			

— End 完 —