

OFFICE USE 本公司專用			
Account Type 賬戶種類:	<input type="checkbox"/> Securities Cash 證券現金	<input type="checkbox"/> Securities Margin 證券保證金	<input type="checkbox"/> Equity Option 股票期權
Account No. 賬戶號碼:			

1. Business Data 業務資料

Full Name: 全名:	(English in BLOCK LETTERS 英文大楷)	(Chinese 中文)
Company No. 公司編號:	Date of Incorporation/Setup 註冊成立日期:	Business Registration No. 商業登記號碼: (if applicable 如適用)
Nature of Entity 實體性質:	<input type="checkbox"/> Sole Proprietorship 獨資經營 <input type="checkbox"/> Public Listed Company 上市公司 <input type="checkbox"/> Private Limited Company 私人有限公司 <input type="checkbox"/> Partnership 合夥企業 <input type="checkbox"/> Others 其他: _____	
Nature of Business: 業務性質:	Years in the Business 營業年期:	Place of Incorporation 註冊成立地點:
Issued Share Capital: 已發行股本:	Authorised Share Capital 法定股本 (if applicable 如適用):	
Registered Office in Country of Incorporation 註冊成立地的註冊辦事處:		
Principal Place of Business 主要營業地點:		
Correspondence Address 通訊地址:		
Company Tel No. 公司電話號碼:	() -	Fax No. 傳真號碼: () -
Method of Account Statement Collection 戶口結單收取方式 (Please tick one 請選擇一項):	<input type="checkbox"/> By electronic statement: Daily and monthly account statement will be emailed to the E-mail Address. 登記電子結單服務, 戶口日結單及月結單電郵至電郵地址 <input type="checkbox"/> By mail to the Correspondence Address for both daily and monthly account statements. 不登記電子結單服務, 戶口日結單及月結單郵寄至通訊地址	
E-mail Address for receiving Account Statement and other correspondences 電郵地址以收取戶口結單及相關信件:		
Key Contact Persons 主要聯絡人:	Name 姓名	Title/Position 職銜/職位:
		Tel No. 電話號碼:

Designated Bank Account 指定銀行賬戶 (Bank account of third party is not acceptable 不接受第三方銀行賬戶)

Account Name 賬戶名稱:	
Bank Name and Branch 銀行名稱及分行:	Branch 分行 Correspondent bank (if applicable) (代理銀行 (如適用))
Account No. 賬戶號碼:	Currency 貨幣:

2. Particulars of Directors (for Corporate) / Partners (for Partnership) 董事 (適用於公司) / 合夥人 (適用於合夥企業) 的資料

Individual Director/Partner 個人董事 / 合夥人

(1) Full Name (English & Chinese) 全名 (英文及中文):	Nationality 國籍:
ID / Passport No. and Place of Issue 身份證/護照號碼及簽發地點:	Date of Birth 出生日期:
	Tel. No. 電話號碼:
Address 地址:	
(2) Full Name (English & Chinese) 全名 (英文及中文):	Nationality 國籍:
ID / Passport No. and Place of Issue 身份證/護照號碼及簽發地點:	Date of Birth 出生日期:
	Tel. No. 電話號碼:
Address 地址:	
(3) Full Name (English & Chinese) 全名 (英文及中文):	Nationality 國籍:
ID / Passport No. and Place of Issue 身份證/護照號碼及簽發地點:	Date of Birth 出生日期:
	Tel. No. 電話號碼:

Address 地址:					
<input type="checkbox"/> Corporate Directors/Partner 公司董事 / 合夥人					
(1) Full Name (English & Chinese) 全名 (英文及中文):				Contact person 聯絡人:	
Date and Place of Incorporation 註冊成立日期及地點:		Certificate of Incorporation No. 註冊成立證書編號:		Tel. No. 電話號碼:	
Registered Office Address 註冊辦事處地址:					
Correspondence Address 通訊地址:					
(2) Full Name (English & Chinese) 全名 (英文及中文):				Contact person 聯絡人:	
Date and Place of Incorporation 註冊成立日期及地點:		Certificate of Incorporation No. 註冊成立證書編號:		Tel. No. 電話號碼:	
Registered Office Address 註冊辦事處地址:					
Correspondence Address 通訊地址:					
(3) Full Name (English & Chinese) 全名 (英文及中文):				Contact person 聯絡人:	
Date and Place of Incorporation 註冊成立日期及地點:		Certificate of Incorporation No. 註冊成立證書編號:		Tel. No. 電話號碼:	
Registered Office Address 註冊辦事處地址:					
Correspondence Address 通訊地址:					
3. Source of Fund 資金來源					
Purpose of opening the Account(s) 開戶目的:		<input type="checkbox"/> Investment 投資 <input type="checkbox"/> Others 其他: _____			
Place of origin of the funding source 資金來源地:		<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> P.R.C. 中國 <input type="checkbox"/> Others 其他: _____			
Initial source of fund 資金最初來自:		<input type="checkbox"/> Operational income 營運收入	<input type="checkbox"/> Investment income 投資收入	<input type="checkbox"/> Interest income 利息收入	<input type="checkbox"/> Funds from shareholder(s) /capital contributions from partners 股東資金 / 合夥人注資
		<input type="checkbox"/> Sale of investment 出售投資	<input type="checkbox"/> Rental income 租金收入	<input type="checkbox"/> External borrowing 對外借貸	<input type="checkbox"/> Others: 其他: _____
Ongoing source of fund 資金的持續來源:		<input type="checkbox"/> Operational income 營運收入	<input type="checkbox"/> Investment income 投資收入	<input type="checkbox"/> Interest income 利息收入	<input type="checkbox"/> Funds from shareholder(s) /capital contributions from partners 股東資金 / 合夥人注資
		<input type="checkbox"/> Sale of investment 出售投資	<input type="checkbox"/> Rental income 租金收入	<input type="checkbox"/> External borrowing 對外借貸	<input type="checkbox"/> Others: 其他: _____
4. Operation of the Account(s) 賬戶的操作					
(1) The Account(s) may be operated by: 賬戶可由以下人士操作					
<ul style="list-style-type: none"> (If the instructions are written) The Authorised Signer(s) named below (whose specimen signature(s) is/are set out in the Customer's certified Board resolutions), in accordance with the signing arrangements set out in such certified Board resolutions; or (如果以書面作出指示) 由下列獲授權簽署人根據客戶的經核證董事會決議案所載的簽署安排操作 (其簽名式樣載於其中): 或 (If the instructions are oral) The Trading Representative(s) named below in accordance with the operating arrangements set out in the Customer's certified Board resolutions. (如果口頭作出指示) 由下列交易代表根據客戶的經核證董事會決議案所載的安排操作。 					
Signing Instruction : Any _____ of the Authorised Signer(s) signing singly/jointly		簽署授權: 任何_____位獲授權人單獨聯合簽署			
Trading Authorisation : Given by any one of the Trading Representative(s)		交易授權: 任何一位交易人員作出交易指示			
(2) Is/Are the Authorised Signer(s) same as the Trading Representative(s) for the Account(s) 賬戶的獲授權簽署人是否與交易代表相同? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否					
Specimen Signature of Authorised Signatory(ies) 獲授權人士簽署式樣					
(1) Authorised Signer for the Account(s) 賬戶的獲授權簽署人					
Full Name 全名:		ID/Passport No. 身份證/護照號碼:		Nationality 國籍:	
Residential Address 住址:				Tel. No. 電話號碼:	
Consent to the use of personal data, for direct marketing 同意使用其個人資料作直銷用途*(Refer to CIF Section 15 Note1 參閱客戶資料表第十五部份附註 1)		<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否		Consent to the transfer of personal data for direct marketing 同意轉交個人資料作直銷用途*(Refer to CIF Section 15 Note2 參閱客戶資料表第十五部份附註 2)	
				<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	
Signature (also as specimen signature) 簽署 (亦作為簽名式樣):				<input type="checkbox"/> Referring Signature to Board Resolution 簽名式樣參照董事會決議	
(2) Authorised Signer for the Account(s) 賬戶的獲授權簽署人					
Full Name 全名:		ID/Passport No. 身份證/護照號碼:		Nationality 國籍:	
Residential Address 住址:				Tel. No. 電話號碼:	
Consent to the use of personal data, for direct marketing 同意使用其個人資料作直銷用途*(Refer to CIF Section 15 Note1 參閱客戶資料表第十五部份附註 1)		<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否		Consent to the transfer of personal data for direct marketing 同意轉交個人資料作直銷用途*(Refer to CIF Section 15 Note2 參閱客戶資料表第十五部份附註 2)	
				<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	

Signature (also as specimen signature) 簽署 (亦作為簽名式樣):	<input type="checkbox"/> Referring Signature to Board Resolution 簽名式樣參照董事會決議
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(3) Authorised Signer for the Account(s) 賬戶的獲授權簽署人

Full Name 全名:	ID/Passport No. 身份證/護照號碼:	Nationality 國籍:
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Residential Address 住址:	Tel. No. 電話號碼:
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Consent to the use of personal data, for direct marketing 同意使用其個人資料作直銷用途*(Refer to CIF Section 15 Note1 參閱客戶資料表第十五部份附註 1)	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	Consent to the transfer of personal data for direct marketing 同意轉交個人資料作直銷用途*(Refer to CIF Section 15 Note2 參閱客戶資料表第十五部份附註 2)	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
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Signature (also as specimen signature) 簽署 (亦作為簽名式樣):	<input type="checkbox"/> Referring Signature to Board Resolution 簽名式樣參照董事會決議
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Specimen Signature of Authorised Trading Representative 獲授權交易代表簽署式樣

(1) Trading Representative for the Account(s) 賬戶的交易代表

Full Name 全名:	ID/Passport No. 身份證/護照號碼:	Nationality 國籍:
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Residential Address 住址:	Tel. No. 電話號碼:
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Consent to the use of personal data, for direct marketing 同意使用其個人資料作直銷用途*(Refer to CIF Section 15 Note1 參閱客戶資料表第十五部份附註 1)	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	Consent to the transfer of personal data for direct marketing 同意轉交個人資料作直銷用途*(Refer to CIF Section 15 Note2 參閱客戶資料表第十五部份附註 2)	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
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Signature (also as specimen signature) 簽署 (亦作為簽名式樣):	<input type="checkbox"/> Referring Signature to Board Resolution 簽名式樣參照董事會決議
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(2) Trading Representative for the Account(s) 賬戶的交易代表

Full Name 全名:	ID/Passport No. 身份證/護照號碼:	Nationality 國籍:
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Residential Address 住址:	Tel. No. 電話號碼:
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Consent to the use of personal data, for direct marketing 同意使用其個人資料作直銷用途*(Refer to CIF Section 15 Note1 參閱客戶資料表第十五部份附註 1)	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	Consent to the transfer of personal data for direct marketing 同意轉交個人資料作直銷用途*(Refer to CIF Section 15 Note2 參閱客戶資料表第十五部份附註 2)	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
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Signature (also as specimen signature) 簽署 (亦作為簽名式樣):	<input type="checkbox"/> Referring Signature to Board Resolution 簽名式樣參照董事會決議
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(3) Trading Representative for the Account(s) 賬戶的交易代表

Full Name 全名:	ID/Passport No. 身份證/護照號碼:	Nationality 國籍:
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Residential Address 住址:	Tel. No. 電話號碼:
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Consent to the use of personal data, for direct marketing 同意使用其個人資料作直銷用途*(Refer to CIF Section 15 Note1 參閱客戶資料表第十五部份附註 1)	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	Consent to the transfer of personal data for direct marketing 同意轉交個人資料作直銷用途*(Refer to CIF Section 15 Note2 參閱客戶資料表第十五部份附註 2)	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
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Signature (also as specimen signature) 簽署 (亦作為簽名式樣):	<input type="checkbox"/> Referring Signature to Board Resolution 簽名式樣參照董事會決議
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(Such choices as indicated in this Customer Information Form represent the Customer's present choices to be effective from the date when CMSHK approves the opening of the Account(s) requested in the account opening application form. As from such effective date, such choices replace any choice or request regarding direct marketing communicated by the Customer to CMSHK prior to the submission of this Customer Information Form to CMSHK.) (客戶資料表內所載的選項是客戶目前的選擇, 將自招商證券(香港)批准在開戶申請表內所要求的開戶日期起生效。自生效日期起, 該等選項將取代客戶在向招商證券(香港)提交客戶資料表之前曾經向其傳達的有關直銷的任何選擇或要求。) **NOTE: Please use continuation sheets if more than three Authorised Signer and/or Trading Representatives are to be appointed. 附註: 如委任多於三名獲授權簽署人及/或交易代表, 請使用續頁。**

5. The beneficial owner(s) of the Account(s) (NOT APPLICABLE TO PUBLIC LISTED COMPANY) 賬戶實益擁有人身份 (不適用於上市公司)

Is the Customer the beneficial owner in relation to the Account(s)? I.e. Is the Customer acting for itself and not as a nominee for a third party?
客戶是否賬戶的實益擁有人? 即客戶是否為自身而不是作為第三方的代名人行事?

Yes 是 No 否 (Please complete this section below 請填寫以下部份)

In relation to a Customer that is a corporation, a beneficial owner means an individual who (i) owns or controls, directly or indirectly, not less than 10% of the issued share capital of Customer; or (ii) is, directly or indirectly, entitled to exercise or control the exercise of not less than 10% of the voting rights at general meetings of Customer; or (iii) exercises ultimate control over the management of Customer; or in the case of bearer shares, an individual who is a beneficial owner holding 5% or more of the share capital; or if the Customers acting on behalf of another person, the other person. 對於公司客戶而言, 實益擁有人為(i)可直接或間接擁有或控制不少於客戶已發行股本 10%的個人; 或(ii)有權直接或間接在客戶股東大會中行使不少於 10%投票權的個人; 或(iii)可對客戶管理層行使最終控制權之個人; 或就不記名股份而言, 為持有 5%或以上股本的實益擁有的個人; 或如客戶代其他人士行事, 則指該其他人士。

In relation to a Customer that is a partnership, a beneficial owner means an individual who (i) is entitled to or controls, directly or indirectly, not less than a 10% share of the capital or profits of the Customer; or (ii) is, directly or indirectly, entitled to exercise or control the exercise of not less than 10% of the voting rights in the Customer; or (iii) exercises ultimate control over the management of the Customer; or if the Customer is acting on behalf of another person, means the other person. 對於合夥企業客戶而言, 實益擁有人為(i)可直接或間接擁有或控制不少於客戶的股本或溢利的 10%的個人; 或(ii)有權直接或間接行使客戶不少於 10%投票權的個人; 或(iii)可對客戶管理層行使最終控制權之個人; 或如客戶代其他人士行事, 則指該其他人士。

Note: If the Customer is a collective investment scheme, discretionary account and/or discretionary trust 附註: 倘客戶為集體投資計劃、全權委託賬戶及/或酌情信託:

Name of the scheme, account and/or trust: 計劃、賬戶及/或信託名稱: _____

NOTE: Please use continuation sheet(s) if there are more than two Beneficial Owners 附註: 如有多於兩名實益擁有人, 請使用續頁

(1) Beneficial owner 實益擁有人

Name (English & Chinese) 姓名 (英文及中文):	ID/Passport No. 身份證/護照號碼:
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Former Name (English & Chinese) 曾用名字 (英文及中文):	Place of Issue 簽發地點:
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Date of Birth 出生日期:	Nationality 國籍:	Tel. No. 電話號碼:
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Relationship with Customer 與客戶的關係:	Percentage of shareholding / control 股權/控制權百分比:
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Occupation 職業:		U.S. Tax Resident 美國稅務居民:	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否	U.S. Green Card Holder 美國綠卡持有人:	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否
Residential Address 住址:							
Correspondence Address 通訊地址:	<input type="checkbox"/> Same as Above 同上 <input type="checkbox"/> Others (please specify) 其他(請註明):						
Permanent Address 永久地址:	<input type="checkbox"/> Correspondence Address 通訊地址 <input type="checkbox"/> Residential Address 住址 <input type="checkbox"/> Others 其他:						

(2) Beneficial owner 實益擁有人

Name (English & Chinese) 姓名 (英文及中文):		ID/Passport No. 身份證/護照號碼:					
Former Name (English & Chinese) 曾用名字 (英文及中文):		Place of Issue 簽發地點:					
Date of Birth 出生日期:	DD 日/MM 月/YYYY 年	Nationality 國籍:		Tel. No. 電話號碼:			
Relationship with Customer 與客戶的關係:			Percentage of shareholding / control 股權/控制權百分比:				
Occupation 職業:		U.S. Tax Resident 美國稅務居民:	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否	U.S. Green Card Holder 美國綠卡持有人:	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否
Residential Address 住址:							
Correspondence Address 通訊地址:	<input type="checkbox"/> Same as Above 同上 <input type="checkbox"/> Others (please specify) 其他(請註明):						
Permanent Address 永久地址:	<input type="checkbox"/> Correspondence Address 通訊地址 <input type="checkbox"/> Residential Address 住址 <input type="checkbox"/> Others 其他:						

6. (If different from (5)) Identity of the person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account(s) or who stand(s) to gain the commercial or economic benefit of the transactions to be conducted through the Account(s) and/or bear their commercial or economic risk (如與(5)不同) 最終負責就賬戶交易作出指示的人士, 或會從賬戶交易獲得商業或經濟利益, 及/或對之承受商業或經濟風險的人士之身份

(Note: If the Customer is a collective investment scheme, discretionary account and/or discretionary trust, please fill in particulars of the investment manager who is responsible for the investment decision.)
(附註: 倘客戶為集體投資計劃、全權委託賬戶及/或酌情信託, 請填上負責作出投資決定的投資經理的資料)

NOTE: Please use continuation sheet(s) if there are more than one Person Ultimately Responsible for Giving Instructions. 附註: 如有多於一名最終負責作出指示的人士, 請使用續頁。

Person ultimately responsible for giving instructions 最終負責作出指示的人士

Name (English & Chinese) 姓名 (英文及中文):		ID/Passport No. 身份證/護照號碼:						
Former Name (English & Chinese) 曾用名字 (英文及中文):		Place of Issue 簽發地點:						
Date of Birth 出生日期:	DD 日/MM 月/YYYY 年	Nationality 國籍:		Tel. No. 電話號碼:				
Relationship with Customer 與客戶的關係:			U.S. Tax Resident 美國稅務居民:	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否	U.S. Green Card Holder 美國綠卡持有人:	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否
Residential Address 住址:								
Correspondence Address 通訊地址:	<input type="checkbox"/> Same as Above 同上 <input type="checkbox"/> Others (please specify) 其他(請註明):							
Permanent Address 永久地址:	<input type="checkbox"/> Correspondence Address 通訊地址 <input type="checkbox"/> Residential Address 住址 <input type="checkbox"/> Others 其他:							

7. Financial Background 財務背景

Based on the latest audited/unaudited accounts as at _____ (date):
根據最近於 _____ (日期) 刊發的經審核 / 未經審核賬目:

Estimated profit after tax 估計除稅後利潤	<input type="checkbox"/> ≤ HK\$ 200,000	<input type="checkbox"/> HK\$ 200,001 – HK\$ 499,999	<input type="checkbox"/> HK\$ 500,000 – HK\$ 999,999
	<input type="checkbox"/> HK\$ 1,000,000 – HK\$ 4,999,999	<input type="checkbox"/> HK\$ 5,000,000 – HK\$ 7,999,999	<input type="checkbox"/> ≥ HK\$ 8,000,000
Total net asset value. 總資產淨值	<input type="checkbox"/> ≤ HK\$ 200,000	<input type="checkbox"/> HK\$ 200,001 – HK\$ 999,999	<input type="checkbox"/> HK\$ 1,000,000 – HK\$ 4,999,999
	<input type="checkbox"/> HK\$ 5,000,000 – HK\$ 9,999,999	<input type="checkbox"/> ≥ HK\$ 10,000,000	
Net current asset value 流動資產淨值	<input type="checkbox"/> ≤ HK\$ 200,000	<input type="checkbox"/> HK\$ 200,001 – HK\$ 999,999	<input type="checkbox"/> HK\$ 1,000,000 – HK\$ 4,999,999
	<input type="checkbox"/> HK\$ 5,000,000 – HK\$ 9,999,999	<input type="checkbox"/> ≥ HK\$ 10,000,000	

8. Education Level and Investment Experiences and Objectives 教育程度, 投資經驗及目標

Investment Experience 投資經驗	Years of Experience 投資經驗年資	Frequency of transaction per annum 每年交易次數
<input type="checkbox"/> Nil 沒有		
<input type="checkbox"/> Securities 證券	<input type="checkbox"/> <2 years 2年以下 <input type="checkbox"/> ≥2 years 2年或以上	<input type="checkbox"/> <40 <input type="checkbox"/> ≥40
<input type="checkbox"/> Mutual Fund/Unit Trust Fund/Exchange Traded Fund 互惠基金/單位信託基金/交易所買賣基金	<input type="checkbox"/> <2 years 2年以下 <input type="checkbox"/> ≥2 years 2年或以上	<input type="checkbox"/> <40 <input type="checkbox"/> ≥40
<input type="checkbox"/> Hedge Fund/Private Equity Fund 對沖基金/私募股權基金	<input type="checkbox"/> <2 years 2年以下 <input type="checkbox"/> ≥2 years 2年或以上	<input type="checkbox"/> <40 <input type="checkbox"/> ≥40
<input type="checkbox"/> Structured Product 結構性產品	<input type="checkbox"/> <2 years 2年以下 <input type="checkbox"/> ≥2 years 2年或以上	<input type="checkbox"/> <40 <input type="checkbox"/> ≥40
<input type="checkbox"/> Derivatives 衍生工具	<input type="checkbox"/> <2 years 2年以下 <input type="checkbox"/> ≥2 years 2年或以上	<input type="checkbox"/> <40 <input type="checkbox"/> ≥40
<input type="checkbox"/> Fixed Income Securities 固定收益證券	<input type="checkbox"/> <2 years 2年以下 <input type="checkbox"/> ≥2 years 2年或以上	<input type="checkbox"/> <40 <input type="checkbox"/> ≥40
<input type="checkbox"/> Others 其他:	<input type="checkbox"/> <2 years 2年以下 <input type="checkbox"/> ≥2 years 2年或以上	<input type="checkbox"/> <40 <input type="checkbox"/> ≥40

Derivatives Product Experience(if applicable) 衍生產品經驗詳情 (如適用):		Options 期權	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否
Executed 5 or more derivative transactions within the past 3 years 過去 3 年內曾執行過 5 次或以上之衍生產品的交易		Derivative Warrants 衍生權證	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否
		CBBC 牛熊證	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否
		Others 其他:	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否
Source of Derivatives Product Knowledge 衍生產品知識獲取渠道	The person(s) who is/are responsible for making investment decisions for or on behalf of the Customer has/have: 負責代表客戶作出投資決定的人士: <input type="checkbox"/> Undergone finance or relevant degree(s) / course(s) 曾接金融或相關課程的學位 <input type="checkbox"/> Have more than 1 year current or previous working experience related to derivative products 現時或過去擁有 1 年或以上有關衍生產品的工作經驗 <input type="checkbox"/> Prior trading experience in derivative products 過往具有衍生產品交易的經驗			
Investment Objectives 投資目標 *(see Note 3 見附註 3)				
Investment objectives are overall objectives for the entire Account and may be inconsistent with a particular holding and the Account's performance at any time. 投資目標是賬戶的整體目標，可能會與某項持倉及賬戶的表現有所不同。				
<input type="checkbox"/> Income 收入 <input type="checkbox"/> Growth 增長 <input type="checkbox"/> Balanced 均衡 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Others 其他: _____				
Investment Horizon 投資年期				
Below indicates the period from now to when you will need to access a significant portion of the money you invest in this Account (check any one that applies). 以下為閣下由現在起直至 閣下將需要存取在賬戶內投資的大部分款項的時限 (任擇其一)。				
<input type="checkbox"/> Long Term 長期 (Over 1 year 1 年以上) <input type="checkbox"/> Intermediate 中期 (6 months to 1 year 6 個月至 1 年) <input type="checkbox"/> Short Term 短期 (Less than 6 months 6 個月之內)				
Risk Tolerance 風險承受程度 *(see Note 4 見附註 4)				
This section documents your willingness and ability to assume risk, including the risk of loss of capital, of the types of investments you wish to hold in the Account. You will note that while the information on your risk tolerance is relevant and necessary to assist China Merchants Securities (HK) Co., Limited ("CMSHK") in making suitability assessments in relation to yourself, the provision of the information herein requested and/or any other information will not of itself have any effect on limiting your potential losses. 本節記錄 閣下願意承受在賬戶內所持有投資種類的風險 (包括損失資金的風險) 及承受風險的能力。閣下須注意，雖然該等風險承受程度的資料為相關及必要的，會有助招商證券 (香港) 有限公司 ("招商證券 (香港)") 對 閣下本身作出適合性評估，但並不代表 閣下能因而限制潛在的損失。				
<input type="checkbox"/> High 高 <input type="checkbox"/> Moderate to High 中度至高 <input type="checkbox"/> Moderate 中度 <input type="checkbox"/> Low to Moderate 低至中度 <input type="checkbox"/> Low 低				
Capacity to Top-Up 補回差額的能力				
I confirm I have the capacity to make regular contributions and meet extra collateral requirements, where appropriate 本人確認擁有足夠能力作定期注資並滿足提供額外抵押品的要求 (如適用)。				
<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否				
Liquidity Requirement 流動資金要求				
I confirm I am not dependent on the liquid asset/cash that you will be using for investments or trading with or through the Account to meet any current or anticipated payment requirements? 本人確認不依賴將會用於賬戶投資或交易的流動資產/現金，來滿足任何現有或預計的注資要求?				
<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否				
9. Disclosure of Identity 身份披露				
Is the Customer, any of its shareholders, or directors, senior officers, partners, Authorised person(s), the person(s) ultimately responsible for giving instructions for the Account(s) or the beneficial owners of the Account(s) (collectively the "Relevant Person(s)") 客戶、其任何股東或董事、高級人員、合夥人、獲授權人士、最終負責就賬戶作出指示的人士或賬戶的實益擁有人 (統稱為「有關人士」) 是否:				
(a) a Licensed or Registered Person; 持牌人或註冊人:			<input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是
(b) a director or an employee of any Licensed or Registered Person of the Securities and Futures Commission of Hong Kong; or 香港證券及期貨事務監察委員會的任何持牌人或註冊人的董事或僱員; 或			<input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是
(c) a relevant individual of the Hong Kong Monetary Authority? 香港金融管理局的有關人士?			<input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是
Name of the Relevant Person (if not being the Customer) 有關人士的姓名(如並非客戶):	Name of the Licensed or Registered Person(s) 持牌人或註冊人的姓名:	CE No. 中央編號:		
(Note: If "Yes", a consent letter from the Licensed or Registered Person(s) must be provided, or CMSHK will write to the Licensed or Registered Person(s) for consent.) (註: 如「是」, 必須提供由持牌人或註冊人發出的同意書, 或招商證券 (香港) 將向持牌人或註冊人發信以徵求同意。)				
10. Related Margin Customer (For Securities Margin Account Only) 關聯保證金客戶 (僅適用於證券保證金賬戶)				
Does the Customer (i) control 35% or more of the voting rights of a company which is a margin Customer of CMSHK and/or (ii) belong to the same group of companies as another company which is a margin Customer of CMSHK? 就任何招商證券 (香港) 的保證金客戶而言, 閣下是否(i)控制該客戶的 35%或以上的投票權及 / 或(ii)與該客戶為同一集團公司?				
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是: Name of relevant margin Customer of CMSHK 招商證券 (香港) 的有關保證金客戶名稱: _____				
11. Related Account 關聯賬戶				
Does the Customer or any of the Relevant Persons have any family relationship with the director(s) or employee(s) of CMSHK, China Merchants Futures (HK) Co., Limited ("CMFHK"), their respective subsidiaries, or any of the subsidiaries of China Merchants Securities International Company Limited? 客戶或任何有關人士是否與招商證券 (香港)、招商期貨 (香港) 有限公司 ("招商期貨 (香港)")、彼等各自的附屬公司或招商證券國際有限公司的任何附屬公司有任何親屬關係?				
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please complete this section below 請填寫以下部份)				
Name of the Relevant Person(s) 有關人士的姓名:	Name of the director(s) or employee(s) 董事或僱員的姓名:			
Relationship 關係:	<input type="checkbox"/> Husband 丈夫 / Wife 妻子 <input type="checkbox"/> Father 父親 / Mother 母親 / Son 兒子 / Daughter 女兒 <input type="checkbox"/> Other 其他:			
12. Staff Account 職員賬戶				
Is the Customer or any of the Relevant Persons of the Account(s) a director or an employee of CMSHK, CMFHK, their respective subsidiaries, or any of the subsidiaries of China Merchants Securities International Company Limited? 客戶或賬戶的有關人士是否招商證券 (香港)、招商期貨 (香港)、彼等各自的附屬公司或招商證券國際有限公司的任何附屬公司的董事或僱員?				
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please complete this section below 請填寫以下部份)				
Name of the Relevant Person(s) 有關人士的姓名:	Name of the relevant company(s) 有關公司的名稱:			
Relationship 關係:	<input type="checkbox"/> Director 董事 <input type="checkbox"/> Employee 僱員			

13. Further Relationship 其他關係

Do any of the Relevant Persons have any family relationship with senior officers / directors / substantial shareholders of any company whose shares are traded on any exchange?
任何有關人士是否與股份在任何交易所買賣的任何公司的高級人員／董事／主要股東有任何親屬關係？

No 否 Yes 是 (Please complete this section below 請填寫以下部份)

Name of the Relevant Person(s) 有關人士姓名:		Name of company 公司名稱:	
Exchange on which company is listed 公司上市所在的交易所:		Stock Code 股份代號:	

14. Use of Personal Data in direct marketing 使用個人資料作直銷用途

We acknowledge and agree to all of the following 吾等承認和同意以下各項:

- (1) CMSHK intends to use the Customer's data in direct marketing on the basis that any personal data ("Personal Data") of the Customer's shareholders, beneficial owners, directors, officers and representatives who are individuals will be handled and dealt with in compliance with the Personal Data (Privacy) Ordinance (Cap. 486) and any applicable rules, regulations and guidelines. 招商證券 (香港) 有意使用客戶資料作直銷用途, 而這包含在按照《個人資料 (私隱) 條例》(第 486 章) 及任何適用規則、規則及指引的基準下處理和處置客戶的股東、實益擁有人、董事、高級人員及代表 (均屬個人) 的任何個人資料 (「個人資料」)。
- (2) The name, contact details, products and other service portfolio information, transaction pattern and behaviour, financial background and demographic data of the Customer held by CMSHK may from time to time be used by CMSHK in direct marketing and CMSHK requires the Customer's consent (which includes an indication of no objection) for that purpose. 招商證券 (香港) 所持有客戶的名字、聯絡資料、產品及其他服務組合資料、交易模式和行為、財務背景及人口數據, 可不時由其用作直銷用途, 並須就此徵求客戶同意 (包括客戶對此表示不反對)。
- (3) In connection with (2) above, the following classes of services, products and subjects may be marketed: 就上文(2)而言, 或會進行以下類別服務、產品及項目的銷售:
 - (a) financial, securities, commodities, investment, banking and related services and products; 金融、證券、商品、投資、銀行及相關服務和產品;
 - (b) reward, loyalty, privileges or co-branding programmes and related services and products; and 有關獎賞、忠誠度、尊貴客戶或品牌合作的計劃以及相關服務和產品; 及
 - (c) donations and contributions for charitable and/or non-profit making purposes. 有關慈善及／或非牟利用途的捐獻。
- (4) The above services, products and subjects may be provided by or (in the case of donations and contributions) solicited by CMSHK and/or: 以上服務、產品及項目或會由招商證券 (香港) 及 / 或以下各方提供或 (就捐獻而言) 請求提供
 - (a) subsidiaries and associated companies of CMSHK (the "Group Companies"); 招商證券 (香港) 的附屬公司及聯營公司 (「集團公司」);
 - (b) third party financial institutions, insurers, credit card companies, securities and investment services providers; 第三方金融機構、保險公司、信用卡公司、證券及投資服務提供者;
 - (c) third party reward, loyalty, privileges or co-branding programme providers; 第三方的獎賞、忠誠度、尊貴客戶或品牌合作的計劃提供者;
 - (d) co-branding partners of CMSHK and the Group Companies (the names of such co-branding partners will be provided during the application for the relevant services and products, as the case may be); and/or 招商證券 (香港) 及集團公司的品牌合作夥伴 (該等品牌合作夥伴的名稱將於申請有關服務及產品時 (視情況而定) 提供); 及
 - (e) charitable or non-profit making organizations. 慈善或非牟利組織。
- (5) In addition to marketing the above services, products and subjects itself, CMSHK also intends to provide the data described in (2) above to all or any of the persons described in (4) above for use by them in marketing those services, products and subjects, and CMSHK requires the Customer's written consent (which includes an indication of no objection) for that purpose. 除就上述服務、產品及項目進行銷售外, 招商證券 (香港) 亦有意向上文第(4)段所述的所有或任何人士提供上文第(2)段所述的資料, 以供彼等在銷售該等服務、產品及項目時使用, 並須就此徵求客戶的書面同意 (包括客戶對此表示不反對)。
- (6) CMSHK may receive money or other property in return for providing the data to other persons as mentioned in (5) above and, when requesting the Customer's consent or no objection as described in (5), CMSHK will inform the Customer if it will receive any money or other property in return for providing the data to the other persons. 招商證券 (香港) 或會因按上文第(5)段所述向其他人士提供資料而收取金錢或財物, 而當招商證券 (香港) 按第(5)段徵求客戶的同意或不反對表示時, 招商證券 (香港) 將通知客戶是否會因向其他人士提供資料而收取任何金錢或財物。
- (7) If the Customer does not wish CMSHK to use or provide the Customer's data to other persons for use in direct marketing as described above, the Customer may exercise its opt-out right by notifying CMSHK and CMSHK will cease to use Customer's data for direct marketing purposes without charge if Customer so requests. 倘客戶不願招商證券 (香港) 使用或向其他人士提供客戶資料作上述直銷用途, 客戶可通知招商證券 (香港) 以行使其選擇退出權, 而招商證券 (香港) 將應客戶的要求不再使用其資料作直銷用途而且不收取費用。
- (8) Customer agrees to circulate the Notice relating to the Personal Data (Privacy) Ordinance in the Securities Account Agreement to the Customer's shareholders, directors, secretary (if any), Authorised signers, trading representatives and employees from whom CMSHK may need to collect their personal data from time to time in the course of CMSHK's provision of services to the Customer. 客戶同意向其股東、董事、秘書 (如有)、獲授權簽署人、交易代表及僱員 (即招商證券 (香港) 在向客戶提供服務過程中不時向其收集個人資料的人士) 傳閱在證券賬戶協議內有關《個人資料 (私隱) 條例》的通知。

Customer's Signature 客戶簽署:

Authorised Signature(s) and Company Chop 經授權簽署及公司印章:

Name: 姓名:

Title: 職銜:

Date: 日期:

Name: 姓名:

Title: 職銜:

Date: 日期:

15. Explanatory Notes 附註**Note 1 附註 1**

The use of personal data (including name and contact details) will be for direct marketing of 個人資料 (包括姓名及聯絡資料) 將會用作以下直銷:

- (a) financial, securities, commodities, investment, banking and related services and products 金融、證券、商品、投資、銀行及相關服務和產品;
- (b) reward, loyalty, privileges or co-branding programs and related services and products, and 有關獎賞、忠誠度、尊貴客戶或品牌合作的計劃以及相關服務和產品; 及
- (c) donations and contributions for charitable and/or non-profit making purposes 有關慈善及／或非牟利用途的捐獻。

Note 2 附註 2

The transfer of personal data (including name and contact details) will be to the following parties for direct marketing of subject(s) mentioned above 個人資料 (包括姓名及聯絡資料) 將轉交予以下各方作上述項目的直銷用途:

- (a) subsidiaries and associated companies of CMSHK (the "Group Companies") 招商證券 (香港) 的附屬公司及聯營公司 (「集團公司」);
- (b) third party financial institutions, insurers, credit card companies, securities and investment services providers 第三方金融機構、保險公司、信用卡公司、證券及投資服務提供者;
- (c) third party reward, loyalty, privileges or co-branding programme providers 第三方的獎賞、忠誠度、尊貴客戶或品牌合作的計劃提供者;
- (d) co-branding partners of CMSHK and the Group Companies (the name of such co-branding partners will be provided during the application for the relevant services and products, as the case may be), and 招商證券 (香港) 及集團公司的品牌合作夥伴 (該等品牌合作夥伴的名稱將於申請有關服務及產品時 (視情況而定) 提供); 及
- (e) charitable or non-profit making organizations 慈善或非牟利組織。

Note 3 附註 3

- (a) "Income" is defined as your objective is to generate current income from investments and you are less concerned with capital appreciation
"收入"指閣下目標是從投資賺取經常收入，少重於資本增值
- (b) "Growth" is defined as your objective is capital appreciation and current income from investments is not a requirement
"增長"指閣下目標是資本增值，無需從投資賺取經常收入
- (c) "Balanced" is defined as your objective is a combination of income and growth
"均衡"指閣下目標是結合收入和增長
- (d) "Hedging" is defined as your objective is to off-set potential losses/gains that may be incurred by other investments
"對沖"指閣下目標是抵銷因其他投資而可能產生的潛在損失/收益
- (e) "Speculation" is defined as your objective is to maximize returns through capital appreciation from higher risk investments
"投機"指閣下目標是透過較高風險的投資，從而做到資本增值以賺取最大回報

Note 4 附註 4

- (a) "High" is defined as High risk investments demonstrate high volatility and are for investors that are growth oriented and are willing to accept significant short-term fluctuations in portfolio value in exchange for potentially higher long-term returns
"高"指高風險投資具高波動性，適合注重增長並願意接受投資組合價值在短期內大幅波動的投資者，以換取潛在較高的長期回報
- (b) "Moderate to High" is defined as Moderate to High risk investments demonstrate a medium to high volatility and are for investors that are looking for long term growth
"中度至高"指中度至高風險投資展示中度至高波動性，適合尋求長期增長的投資者
- (c) "Moderate" is defined as Moderate risk investments demonstrate medium volatility and are for investors looking for moderate growth over longer period of time
"中度"指中度風險投資具中度波動性，適合希望在較長的期間內獲得中度增長的投資者
- (d) "Low to Moderate" is defined as Low to Moderate risk investments demonstrate low to medium volatility but a lower volatility than those described above
"低至中度"指低至中度風險投資具低至中度波動性，但波動性較上述者為低
- (e) "Low" is defined as Low risk investments demonstrate low volatility and are for investors who are willing to accept lower returns for greater safety of capital
"低"指低風險投資具低波動性，適合願意接受較低回報而換取更大資金安全性的投資者

This Customer Information Form includes the following Continuation Sheet(s) 本客戶資料表包括下列續頁

Continuation Sheet(s) 續頁	Authorised Signer/Trading Representative 賬戶的獲授權簽署人 / 賬戶的交易代表	The Beneficial Owner of the Account/Person Ultimately Responsible for Giving Instructions 賬戶實益擁有人 / 最終負責作出指示的人士
Number of pages 頁數		

16. DECLARATION 聲明

I / We represent and warrant that the information on this Customer Information Form is true, complete and accurate. In addition, I / We understand that CMSHK will rely on the above stated information for assessment of my / our knowledge of and experience in the relevant derivative products in order to satisfy the corresponding requirements under the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission as applicable from time to time. I / We have read and I / We understand the Risk Disclosure Statement of the Derivative Products provided to me by CMSHK. I / We fully understand the underlying risk(s) associated with / arising from trading the relevant derivative products before I / We make the decision to invest in the relevant derivative products, and I am / We are willing and able to assume all the risks associated with / arising from trading the relevant derivative products. CMSHK is entitled to rely fully on such information for all purposes, unless it receives notice in writing of any change. CMSHK is Authorised at any time to contact anyone, including my/our banks, brokers, or any credit agency, for the purpose of verifying the information provided on this Customer Information Form 本人/吾等陳述及保證，客戶資料表內的資料均為真實、完整及準確，並明白招商證券（香港）有限公司（“招商證券”）將根據上述資料評估本人/吾等是否擁有對相關投資產品之知識及經驗，以符合《證券及期貨事務監察管理委員會持牌人或註冊人操作守則》之有關要求。本人/吾等已閱讀及明白招商期貨提供的有關交易衍生工具的風險披露文件。本人/吾等作出投資決定前已充分認識交易相關投資產品所附帶的風險，並願意承擔交易相關投資產品的所有風險。招商證券（香港）有權完全依賴該等資料作一切用途，除非其收到關於任何變動的書面通知。招商證券（香港）有權隨時聯絡任何人士（包括本人/吾等的銀行、經紀或任何信用調查機構）以核實本客戶資料表內的資料。

Customer's Signature: 客戶簽署：

Authorised Signature(s) and Company Chop 經授權簽署及公司印章：

Name 姓名：

Title 職銜：

Date 日期：

Name 姓名：

Title 職銜：

Date 日期：

~ End 完 ~

SPECIMEN CHOPS AND SEALS 印鑑及印章式樣

Specimen Signature(s) provided under section 4 above, business chops and seals (if any) will be used to verify all written instructions given relating to the operation of the Account(s) 按上文第 4 條提供的簽名式樣、商業印鑑及印章（如有）將用作核實操作賬戶的所有書面指示。

Please Note 請注意：

This page should be accompanied either by a duly certified Board resolution (in case of companies), or a duly certified resolution (in case of partnerships). 本頁應（就公司而言）連同獲正式核證的董事會決議案，或（就合夥企業而言）獲正式核證的決議案一併提交。

If you affix the business chop/seal (if any) below, you warrant that you are duly Authorised to do so. 倘閣下在下方蓋上商業印鑑/印章（如有），閣下即保證已獲正式授權蓋章。

Account Name 賬戶名稱： _____

Account No. 賬戶號碼： _____

SPECIMEN OF BUSINESS CHOP / SEAL (IF ANY):

商業印鑑 / 印章（如有）式樣：

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	Handled By 經手人	Docs. Checked & No. Issued 檢查文件及發出的編號	Input 輸入	Specimen Scanned 已掃描式樣	Password 密碼	Date Checked 檢查日期	Approved 批准
Initial 簡簽							
Date 日期							