



招商銀行 香港分行

CHINA MERCHANTS BANK Hong Kong Branch  
招商銀行股份有限公司香港分行(中華人民共和國註冊成立的股份有限公司)  
China Merchants Bank Co., Ltd Hong Kong Branch (a joint stock company  
incorporated in the People's Republic of China with limited liability)

CE No. 中央編號: AHN815

28/F, Three Exchange Square, 8 Connaught Place, Central, Hong

Kong. 香港中環康樂廣場八號交易廣場第三期二十八樓。

## SECURITIES ACCOUNT APPLICATION FORM

### 證券賬戶開戶申請書

I hereby apply to China Merchants Bank, Hong Kong Branch ('the Bank') to open and maintain a Securities Account under my All-In-One Card Account for the purpose of instructing the Bank to buy, sell and otherwise deal with securities and other investment on my behalf. Unless otherwise agreed with the Bank, I also apply to open a Settlement Account for the above Securities Account and assign this account as the settlement account for the above mentioned Securities Account.

本人謹此向招商銀行香港分行(貴行)申請以本人名義開立及維持一個"證券賬戶"。此賬戶為本人"香港一卡通賬戶"下之子賬戶,證券賬戶用作指示貴行代本人買賣及以其他方式處理證券及其他投資。除非與貴行另行同意,本人於開立證券賬戶時亦申請開立一個結算賬戶,並指定該結算賬戶為上述證券賬戶的交易之結算戶口。

Please mark "✓" in the appropriate box

Securities Account Type :  HK Stock

US Stock

Funds

請於適當方格裡填"✓"

證券戶口類別:

港股

美股戶

基金戶

#### Personal Data of Applicant

##### 申請人個人資料

AIO Account No.

一卡通戶口號碼: \_\_\_\_\_

Name: \_\_\_\_\_ (English)

姓名: \_\_\_\_\_ (中文)

#### Personal Declaration

##### 個人申報

Is the applicant an employee of a licensed or registered person with the Hong Kong Securities and Futures Commission?

申請人是否香港證監會發牌之持牌法團或註冊機構的雇員?

Yes, please specify employer name:

如是,請列明雇主名稱

: \_\_\_\_\_

Has consent letter been obtained from the employer for opening the Securities Account?

已獲雇主對開立證券賬戶戶口之同意書?

Yes with attached 是並現附上.

No 否.

Does the applicant have any direct relative(s) working in China Merchants Bank, Hong Kong Branch?

申請人的直系親屬是否招商銀行香港分行之雇員?

Yes, please specify employee name:

如是,請列明雇員姓名:

Relationship:

關係:

No 否.

Does the applicant have any US or Canadian tax filing obligations, and/or live in US or Canada?

申請人是否美國或加拿大稅務居民,及/或身處美加?

Yes, please specify country:

如是,請列明國家:

No 否.

Ultimate Beneficiary Declaration

最終受益人聲明

Applicant hereby declares that he / she is the ultimate beneficial owner of the Securities Account:

申請人是否為證券賬戶戶口最終受益人:

Yes 是

No 否

If no, please specify particulars of ultimate beneficiary as follows:

如否, 請提供下列資料:

Name of Ultimate Beneficiary:

最終受益人姓名: \_\_\_\_\_

Identification Document No:

身份證明文件號碼: \_\_\_\_\_

Contact Tel No:

聯絡電話: \_\_\_\_\_

Address:

聯絡地址: \_\_\_\_\_

Country of Residence:

居住國: \_\_\_\_\_

Financial Profile and Investment Objectives / Experience

財務資料及投資目標 / 經驗

Net Value of Assets:  < HK\$100,000.  
 資產淨值:  HK\$100,001 - HK\$250,000.  
 HK\$250,001 - HK\$500,000.  
 HK\$500,001 - HK\$1,000,000.  
 > HK\$1,000,000.

Investment Objective:  Growth 增值  
 投資目標:  Income 收入  
 Speculation 投機  
 Hedging 對沖  
 Other 其他

Investment Experience (Year):  < 1  
 1 - 5  
 投資經驗 (年):  5 - 10  
 > 10

Type of Product(s)  None 無  
 Have Invested(Please  Stocks 股票  
 Choose one or more):  Debt Securities 債券  
 投資過的產品種類  Investment Funds 基金  
 (請選擇一項或多項):  Foreign Currency 外幣  
 Derivatives 衍生工具

Risk Tolerance:  Low 低  
 風險容忍度:  Medium 中  
 High 高

**Declaration****聲明**

I hereby acknowledge and confirm that: 本人謹此承諾並確認:

- The information as set out above is true, complete and accurate and can be relied upon by the Bank in the fulfillment of its obligations. I undertake to notify the Bank promptly in case of any change of information.  
本人提供之上列資料均為真實、完整及正確無誤，貴行可倚賴此等資料以履行其義務。凡上述資料有任何更改，本人謹此承諾儘快通知貴行。
- I have received, read and understood the Terms of the Securities Account and the General Terms and Conditions for Account Holders, and I accept and agree to be bound by them.  
本人已收到、閱讀及明白《證券賬戶條款》及《賬戶持有人條款》，而本人接納並同意受該等條款所約束。
- The Risk Disclosure Statements (along with included in the terms of the Terms of the Securities Account) were provided to me in both English and Chinese languages. I was invited to read the Risk Disclosure Statements, and have asked questions and taken independent advice where I wished.  
本人已獲提供一份包括英文和中文所撰寫的《風險披露聲明》(連同包括於《證券賬戶條款》內)。本人已獲邀請參閱《風險披露聲明》，並已提出問題及諮詢獨立意見。(如本人有此意願)
- I acknowledge and accept the risks of receiving the communications via electronic communications, including but not limited to the risks as set out in the Terms of Securities Account and agree and undertake to hold the Bank harmless from and against all losses, damage, interest, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which I may incur, suffer and/or sustain as a result of the Bank's provision of communications via electronic communications. I have received, read and understood the FAQ on eStatement via E-Banking ("FAQ"). I acknowledge and consent to the arrangements stated therein (as modified from time to time) and I can from time to time check the updates on the FAQ which is available at <http://hk.cmbchina.com/Securities/>  
本人確認及接受通過電子通訊的風險，包括但不限於載於《證券賬戶條款》所列的風險，並同意及承諾免除貴行因貴行通過電子服務提供該等通訊而令本人產生、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、索償等的責任。本人已收到、閱讀及明白《網銀電子帳單常見問題解答》("FAQ")。本人確認和同意FAQ中所述(經不時修訂)之安排且本可不時通過訪問 <http://hk.cmbchina.com/Securities/> 查閱FAQ的更新。
- I have received, read and understood the Fees and Charges of Securities Services.  
本人已收到、閱讀及明白《證券買賣業務收費表》。
- I understand and agree that if I would like to open an US Stock Account, I am required to fill out Internal Revenue Service of W8-Ben Form.  
本人明白並同意，開立美股戶口時需填寫美國稅局的W8-Ben表格。

《Personal Information Collection Statement 收集個人資料聲明》

I hereby acknowledge and confirm that: 本人謹此承諾並確認:

- I have read the notice relating to the Personal Data (Privacy) Ordinance, and have understood its provisions.  
本人已參閱《個人資料(私隱)條例》的通知，並明白其條文。
- I acknowledge and agree that the Bank may use the information as set out above for the purposes as stated in the Notice relating to the Personal Data (Privacy) Ordinance.  
本人確認並同意，貴行可能會將本人提供之上列資料用於《個人資料(私隱)條例》的通知內所述的用途。

**X**

Signature 簽署

Date 日期:

**For Office Use Only 公司內部專用:**

**Declaration by Staff****職員聲明**

I confirm that I have provided the Risk Disclosure Statements in both English and Chinese languages to the client, and that I have invited the client to read the Risk Disclosure Statements, ask questions and take independent advice, if the client wishes.

本人已向客戶提供一份包括英文和中文所撰寫的《風險披露聲明》(包含於《證券賬戶條款》), 已邀請客戶閱讀該風險披露聲明、提出問題及諮詢獨立意見(如客戶有此意願)。

Staff Name (in Block Letters) 職員姓名:

HKMA Reg. No. 金融管理局登記號碼:

Date 日期:

Signature verified by	Declaration made by	Checked/Approved by