

OFFICE USE 本公司專用			
<input type="checkbox"/> INDIVIDUAL ACCOUNT 個人賬戶		<input type="checkbox"/> JOINT ACCOUNT 聯名賬戶	
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. Personal Data 個人資料			
Name of Customer 客戶姓名:	(Chinese 中文)	(English 英文/Pinyin 拼音)	Gender 性別: <input type="checkbox"/> M 男 <input type="checkbox"/> F 女
Date of Birth 出生日期:	ID/Passport No. 身份證/護照號碼:	Place of Issue 簽發地點:	
Place of Birth 出生地點:	Nationality 國籍:		
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"/> Residential Address 住址 <input type="checkbox"/> Correspondence Address 通訊地址 <input type="checkbox"/> Others (please specify) 其他 (請註明)		
Mobile Phone No. 手提電話:	( ) -	Home Phone No. 住宅電話:	( ) -
	( ) -	Office No. 公司電話:	( ) -
	( ) -	Fax No. 傳真號碼:	( ) -
Method of Account Statement Collection and Other Communication 收取賬戶結單及其他通訊方法 (Please tick <b>one</b> 請選擇一項)	<input type="checkbox"/> By email to the Email Address for both daily and monthly account statements 戶口日結單及月結單電郵至電郵地址。 Email Address 電郵地址: _____ <input type="checkbox"/> By post to the Correspondence Address for both daily and monthly account statements 戶口日結單及月結單郵寄至通訊地址。		
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:			<input type="checkbox"/> Refer to Form 06 請參閱表格 06
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. Financial Background 財務背景			
Name of Employer 僱主名稱:			
Address of Employer 僱主地址:			
Occupation 職業	Job Title 職位	Years of Service 任職年期	
Residence status 居住狀況:	<input type="checkbox"/> Self-owned 自置 <input type="checkbox"/> Mortgage 按揭 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Quarters 宿舍 <input type="checkbox"/> Living with family 與家人同住		
Annual Income 全年收入:	<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\$ 2,999,999 <input type="checkbox"/> ≥ HK\$ 3,000,000		
Estimated Liquid Net Worth 估計流動資產淨值	<input type="checkbox"/> ≤ HK\$ 1,000,000 <input type="checkbox"/> HK\$ 1,000,001 – HK\$ 4,999,999 <input type="checkbox"/> HK\$ 5,000,000 – HK\$ 7,999,999 <input type="checkbox"/> HK\$ 8,000,000 – HK\$ 29,999,999 <input type="checkbox"/> ≥ HK\$ 30,000,000		
3. 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	

<b>Education Level</b> 教育程度	<input type="checkbox"/> Secondary or below 中學或以下	<input type="checkbox"/> Tertiary or above 大專或以上	<input type="checkbox"/> Professional Qualification 具專業資格	<input type="checkbox"/> Others (please specify) 其他(請註明): _____	
<b>Derivatives Product Experience(if applicable)</b> 衍生產品經驗詳情(如適用):		<b>Options 期權</b> <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否			
<b>Executed 5 or more derivative transactions within the past 3 years</b> 過去3年內曾執行過5次或以上之衍生產品的交易		<b>Derivative Warrants 衍生權證</b> <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否			
		<b>CBBC 牛熊證</b> <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否			
		<b>Others 其他:</b> <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否			
<b>Source of Derivatives Product Knowledge</b> 衍生產品知識獲取渠道		<input type="checkbox"/> Undergone training or attended courses on derivative products 曾接受有關衍生產品的培訓或參加有關課程			
		<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			
<b>Investment Objectives 投資目標</b> *(see Note 1 見附註 1)					
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符。					
<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 (Please specify)其他(請註): _____					
<b>Investment Horizon 投資年期</b>					
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)					
<b>Risk Tolerance 風險承受程度</b> *(see Note 2 見附註 2)					
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. 本節記錄閣下是否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					
<b>Capacity to Top-Up 補回差額的能力</b>					
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					
<b>Liquidity Requirement 流動資金要求</b>					
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					
<b>4. Source of Fund 資金來源</b>					
<b>Purpose of opening the Account(s)</b> 開戶目的:	<input type="checkbox"/> Investment 投資 <input type="checkbox"/> Others 其他: _____				
<b>Place of origin of the funding source</b> 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: _____				
<b>Initial source of fund</b> 資金最初來自:	<input type="checkbox"/> Salary 薪金	<input type="checkbox"/> Operational income 營運收入	<input type="checkbox"/> Sale of investment 出售投資	<input type="checkbox"/> Investment income 投資收入	<input type="checkbox"/> Rental income 租金收入
	<input type="checkbox"/> Interest income 利息收入	<input type="checkbox"/> External borrowing 對外借貸	<input type="checkbox"/> Family gift 家人贈予	<input type="checkbox"/> Estate 遺產	<input type="checkbox"/> Others: 其他: _____
<b>Ongoing source of fund</b> 資金的持續來源:	<input type="checkbox"/> Salary 薪金	<input type="checkbox"/> Operational income 營運收入	<input type="checkbox"/> Sale of investment 出售投資	<input type="checkbox"/> Investment income 投資收入	<input type="checkbox"/> Rental income 租金收入
	<input type="checkbox"/> Interest income 利息收入	<input type="checkbox"/> External borrowing 對外借貸	<input type="checkbox"/> Family gift 家人贈予	<input type="checkbox"/> Estate 遺產	<input type="checkbox"/> Others: 其他: _____
<b>5. Operation of the Account(s) 賬戶的操作 (For Joint Account Only 僅適用於聯名賬戶)</b>					
Each of the joint account holders is Authorised to give instructions (written, oral or through the Electronic Services (where applicable)) in relation to the operation of the account from time to time singly; and 各聯名賬戶持有人均有權不時及單獨地對賬戶的操作作出指示(書面、口頭或透過電子服務(如適用)); 及					
<input type="checkbox"/> Either one joint account holder signing singly, or 只須一名聯名賬戶持有人單獨簽署, 或 <input type="checkbox"/> All joint account holders signing jointly, 所有聯名持有人須共同簽署, validates any written instructions relating to the operation of the Account(s).以認可該賬戶操作的書面指示。					
<b>6. The beneficial owner(s) of the Account(s) 賬戶實益擁有人身份</b>					
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?					
<input type="checkbox"/> Yes 是 (Please go to section 8 請填寫第8部份) <input type="checkbox"/> No 否 (Please complete this section below 請填寫以下部份)					
A beneficial owner is the individual who ultimately owns or controls the Customer or on whose behalf the transactions or activity of the Account(s) are being conducted. 實益擁有人是指最終擁有或控制客戶的個人, 或代表客戶就賬戶進行交易或活動的個人。					
<b>Beneficial owner 實益擁有人</b>					
<b>Name (English &amp; Chinese)</b> 姓名(英文及中文):				<b>ID/Passport No.</b> 身份證/護照號碼:	
<b>Former Name (English &amp; Chinese)</b> 曾用名字(英文及中文):				<b>Place of Issue</b> 簽發地點:	
<b>Date of Birth</b> 出生日期:	DD 日/MM 月/YYYY 年	<b>Nationality</b> 國籍:		<b>Tel. No.</b> 電話號碼:	
<b>Relationship with Customer</b> 與客戶的關係:		<b>U.S. Tax Resident</b> 美國稅務居民:	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<b>U.S. Green Card Holder</b> 美國綠卡持有人:	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
<b>Residential Address</b> 住址:					
<b>Permanent Address</b> 永久地址: (if different from residential address 如與住址不同)					
<b>7. (If different from (6)) Identity of the person(s) ultimately responsible for giving instructions in relation to transactions (the "Relevant Person(s)") 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</b> (如與(6)不同)最終負責就賬戶交易作出指示的人士("有關人士"), 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					

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

<b>Name (English &amp; Chinese)</b> 姓名 (英文及中文):		<b>ID/Passport No.</b> 身份證/護照號碼:	
<b>Former Name (English &amp; Chinese)</b> 曾用名字 (英文及中文):		<b>Place of Issue</b> 簽發地點:	
<b>Date of Birth</b> 出生日期:	DD 日/MM 月/YYYY 年	<b>Nationality</b> 國籍:	
<b>Relationship with Customer</b> 與客戶的關係:		<b>U.S. Tax Resident</b> 美國稅務居民:	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
<b>Residential Address</b> 住址:			
<b>Permanent Address</b> 永久地址: (if different from residential address 如與住址不同)			
		<b>Tel. No.</b> 電話號碼:	
		<b>U.S. Green Card Holder</b> 美國綠卡持有人:	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

**8. Disclosure of Identity 身份披露**

Are you, the Beneficial Owner(s) and/or the Relevant Person(s) 閣下是否實益擁有人及/或有關人士:

<b>(a) a Licensed or Registered Person;</b> 持牌人或註冊人:	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是
<b>(b) a director or an employee of any Licensed or Registered Person of the Securities and Futures Commission of Hong Kong; or</b> 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
<b>(c) a relevant individual of the Hong Kong Monetary Authority?</b> 香港金融管理局的有關人士?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是

<b>Name of the Relevant Person</b> (if not being the Customer) 有關人士的姓名(如並非客戶):		<b>Name of the Licensed or Registered Person(s)</b> 持牌人或註冊人的姓名:		<b>CE No.</b> 中央編號:	
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*(Note: If "Yes", a consent letter from the Licensed or Registered Person(s) must be provided, or CSMHK 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。)*

**9. Related Account 關聯賬戶**

Do you, the Beneficial Owner(s) and/or the Relevant Person(s) have any family relationship with the director(s) or employee(s) of CSMHK, China Merchants Futures (HK) Co., Limited ("CMFHK"), their respective subsidiaries, or any of the subsidiaries of China Merchants Securities International Company Limited? 閣下、實益擁有人及/或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?

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

<b>Name of the Relevant Person(s)</b> 有關人士的姓名:		<b>Name of the director(s) or employee(s)</b> 董事或僱員的姓名:	
<b>Relationship</b> 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:		

**10. Staff Account 職員賬戶**

Are you, any Beneficial Owner(s) and/or any of the Relevant Persons of the Account(s) a director or an employee of CSMHK, CMFHK, their respective subsidiaries, or any of the subsidiaries of China Merchants Securities International Company Limited? 閣下、實益擁有人及/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?

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

<b>Name of the Relevant Person(s)</b> 有關人士的姓名:		<b>Name of the relevant company(s)</b> 有關公司的名稱:	
<b>Relationship</b> 關係:	<input type="checkbox"/> Director 董事 <input type="checkbox"/> Employee 僱員		

**11. 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)

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

**12. 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 your spouse have any Securities Margin account with CSMHK? 閣下配偶是否在招商證券(香港)設有任何證券保證金賬戶?

No 否  Yes 是: Name of Spouse 配偶姓名: \_\_\_\_\_

Do you control, either alone or with your spouse, 35% or more of the voting rights of a company which is a margin Customer of CSMHK? 就任何招商證券(香港)的保證金客戶而言, 閣下是否單獨或與配偶共同控制該客戶的35%或以上的投票權?

No 否  Yes 是: Name of relevant margin Customer of CSMHK 招商證券(香港)的有關保證金客戶名稱: \_\_\_\_\_

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

I acknowledge and agree to all of the following 本人承認和同意以下各項:

- CSMHK intends to use the Customer's data in direct marketing on the basis that any personal data of the Customer, the Beneficial Owner(s) and the Relevant Person(s) for giving instructions for the Account(s) 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)有意使用客戶個人資料作直銷用途, 而這是包含在按照《個人資料(私隱)條例》(第486章)及任何適用規則、規例及指引的基準下處理和處置客戶、實益擁有人及就賬戶作出指示的有關人士的任何個人資料。
- The name, contact details, products and other service portfolio information, transaction pattern and behaviour, financial background and demographic data of the Customer held by CSMHK may from time to time be used by CSMHK in direct marketing and CSMHK 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, 可不時由招商證券(香港)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)。
- My choices below represent my present choices to be effective from the date when CSMHK approves the opening of the Account(s). As from such effective date, such choices replace any choice or request regarding direct marketing communicated by me to CSMHK prior to the submission of this form to CSMHK 以下選項是本人目前的選擇, 將自招商證券(香港)批准開戶日期起生效。自生效日期起, 該等選項將取代本人在向招商證券(香港)提交本表格之前曾經向其傳達的有關直銷的任何選擇或要求:

(i) I consent to the use of my personal data, for direct marketing 本人同意使用我的個人資料作直銷用途 \*(see Note 3 見附註 3)  Yes 是  No 否

(ii) I consent to the transfer by CSMHK of my personal data for direct marketing 本人同意招商證券(香港)轉交我的個人資料作直銷用途 \*(see Note 4 見附註 4)  Yes 是  No 否

- (4) In addition to marketing the above services, products and subjects itself, CMSHK also intends to provide the personal data described in paragraph 2 above to all or any of the persons described in paragraph 3 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 3 段所述的所有或任何人士提供上文第 2 段所述的個人資料，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）。
- (5) CMSHK may receive money or other property in return for providing the personal data to other persons as mentioned in paragraph 4 above and, when requesting the Customer's consent or no objection as described in such paragraph 4, CMSHK will inform the Customer if it will receive any money or other property in return for providing the personal data to the other persons. 招商證券（香港）或會因按上文第 4 段所述向其他人士提供個人資料而收取金錢或財物，而當招商證券（香港）按第 4 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個人資料而收取任何金錢或其他財物。
- (6) If Customer does not wish CMSHK to use or provide the Customer's personal 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 the Customer's personal data for direct marketing purposes without charge if the 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的個人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個人資料作直銷用途而且不收取費用。
- (7) Customer agrees to circulate the Notice relating to the Personal Data (Privacy) Ordinance in the Securities Account Agreement to the Beneficial Owner(s) and the Relevant Person(s) 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. 客戶同意向實益擁有人及有關人士（即招商證券（香港）在向客戶提供服務過程中可能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:**

Date 日期:

#### 14. Explanatory Notes 附註

##### Note 1 附註 1

- (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 2 附註 2

- (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

##### Note 3 附註 3

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 4 附註 4

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。

#### 15. 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:**

Customer's Name 客戶姓名:

Date 日期:

~ End 完 ~

#### For OFFICIAL USE ONLY 本公司專用

	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							