

Change of Account Information 客戶資料更新

 To 致 CMB International Securities Limited 招銀國際證券有限公司 CMB International Futures Limited 招銀國際期貨有限公司


- Please complete and return the form to 45/F., Champion Tower, 3 Garden Road, Central, Hong Kong 请将表格交回至香港中環花園道 3 号冠君大廈 45 楼
- For item 1-6, 10 and 11, please provide supporting documents (e.g. Deed poll, old and renewed ID/Passport, address proof etc.) 就更改第 1-6, 10 及 11 项, 请提供证明档 (如改名契、新旧身份证、护照或地址证明等)

Account Number 帐户号码: _____ **Account Name 帐户名称:** _____

A. Change of Personal Particulars 更改个人资料

1	Name in English 英文姓名	
2	Name in Chinese 中文姓名	
3	Identity Document Types 身份证明文件类别	<input type="checkbox"/> ID card 身份证 <input type="checkbox"/> Passport 护照 <input type="checkbox"/> Others 其他:
4	ID/ Passport No 身份证明文件号码	
5	Place of Issue 签发地	
6	Nationality 国籍	
7	Education Level 教育程度	<input type="checkbox"/> Primary or below 小学或以下 <input type="checkbox"/> Secondary or post-secondary 中学或专上学院 <input type="checkbox"/> University or above/professional qualifications (not related to Economics/Finance) 大学或以上/专业资格 (非财经学科相关) <input type="checkbox"/> University or above/professional qualifications (related to Economics/Finance) 大学或以上/专业资格 (跟财经学科相关)
8	Residential Address 住宅地址	
9	Correspondence Address 通讯地址	<input type="checkbox"/> Same as Residential Address 与住宅地址相同 <input type="checkbox"/> Registered Address 注册地址 <input type="checkbox"/> Business Address 办公室地址 <input type="checkbox"/> Other 其他
10	Registered Address 注册地址	
11	Business Address 办公室地址	
12	E-mail Address 电子邮箱	<input type="checkbox"/> Add 新增 <input type="checkbox"/> Change 更改
		<input type="checkbox"/> This E-mail address will be registered to receive notification on system login, trade execution and password reset if you have subscribed for the online trading service. 如有开通网上交易服务, 此电子邮箱将登记用作接收系统登入、交易执行及变更密码通知。
13	Tel. No. 住宅电话	<input type="checkbox"/> Add 新增 <input type="checkbox"/> Change 更改
		+Country Code-Area Code-Phone Number +国家代码-地区代码-电话号码
14	Mobile 手提电话	<input type="checkbox"/> Add 新增 <input type="checkbox"/> Change 更改
		<input type="checkbox"/> This Mobile will be registered to receive 2FA One-Time Password if you have subscribed for the online trading service. 如有开通网上交易服务, 电话号码将登记用作接收双重认证的一次性密码。

15	Tel. No. (Office) 办公室电话	<input type="checkbox"/> Add 新增 <input type="checkbox"/> Change 更改	+Country Code-Area Code-Phone Number +国家代码-地区代码-电话号码
16	Fax No. (Office) 办公室传真	<input type="checkbox"/> Add 新增 <input type="checkbox"/> Change 更改	+Country Code-Area Code-Phone Number +国家代码-地区代码-电话号码
17	Mode of Communication 通讯方式 (Including clients statement and client notices 包括客户结单及所有通讯) (Select one only 只可选取一项)	<input type="checkbox"/> Correspondence Address 通讯地址 <input type="checkbox"/> Email Address 电子邮箱	
18	Employment Status 就业状况	<input type="checkbox"/> Employed 受雇 <input type="checkbox"/> Housewife 家庭主妇	<input type="checkbox"/> Self-employed 自雇 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Others 其他:
19	Name of Employer 雇主名称		
20	Occupation 行业		
21	Position 职位		
22	Years of Service 服务年数		
23	Annual Income(HKD) 每年总收入 (港元)	<input type="checkbox"/> below \$200,000 或以下 <input type="checkbox"/> \$500,001 to 至 \$1,000,000	<input type="checkbox"/> \$200,001 to 至 \$500,000 <input type="checkbox"/> \$1,000,001 or above 或更多
24	Source of Wealth 财富来源	<input type="checkbox"/> Salary and/or Bonus 受雇薪金及或花红 <input type="checkbox"/> Investment/Saving 投资/储蓄 <input type="checkbox"/> Other 其他	<input type="checkbox"/> Sale of Property/Investment/Assets 售卖物业/投资/资产 <input type="checkbox"/> Inheritance 承继遗产
25	Source of Fund 资金来源	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Commission/Business Income 佣金/ 生意收入 <input type="checkbox"/> Return on Investment 投资收益	<input type="checkbox"/> Income Accumulation 收入累积 <input type="checkbox"/> Pension/Reserve退休金/储备 <input type="checkbox"/> Others 其他
26	Liquid Assets Held (HKD) (including Cash, Deposit and short term investments etc.) 拥有流动资产 (港元) (包括现金、存款及短期投资等)	<input type="checkbox"/> below \$100,000 或以下 <input type="checkbox"/> \$300,001 to 至 \$600,000 <input type="checkbox"/> \$900,001 to 至 \$1,200,000	<input type="checkbox"/> \$100,001 to 至 \$300,000 <input type="checkbox"/> \$600,001 to 至 \$900,000 <input type="checkbox"/> \$1,200,001 or above 或更多
27	Net worth ('Total Assets' minus 'Total Liabilities', excluding the value of your self-occupied property) 净资产 (总资产减去总负债, 不包括自住物业的价值)	<input type="checkbox"/> below \$5,000,000 或以下 <input type="checkbox"/> \$8,000,001 to 至 \$12,000,000 <input type="checkbox"/> \$15,000,001 or above 或更多	<input type="checkbox"/> \$5,000,001 to 至 \$8,000,000 <input type="checkbox"/> \$12,000,001 to 至 \$15,000,000
28	Residential Status 住屋	<input type="checkbox"/> Owned Property 自置物业 <input type="checkbox"/> Mortgaged, outstanding amount 按揭物业, 结欠: _____ <input type="checkbox"/> Rented, monthly rent 租用物业, 每月租金: _____ <input type="checkbox"/> Others 其他: _____	

B. General Information 一般资料

29	You are now a director or an employee of a person registered or licensed with HK Securities and Futures Commission. 你现在为香港证监会的持牌或注册人士, 或任何持牌法团或注册机构的董事或职员。	<input type="checkbox"/> Yes 是 Please specify your CE no. & provide a consent letter issued by the employer. 谨请说明阁下的中央编号和请提供雇主同意开户证明。
30	You are now an employee of China Merchants Bank. 你现在为招商银行的雇员。	<input type="checkbox"/> Yes 是
31	You are now related to an employee of CMBI Group. 你现在为招银国际集团雇员的亲属。	<input type="checkbox"/> Yes 是
32	You are now a U.S. citizen, a green card holder or residing in the U.S. 你现在为美国公民、绿咭持有人或居住于美国。	<input type="checkbox"/> Yes 是 Please provide a Form W-9 Form. 请提供W-9表格。

C. Securities Trading Services 证券类型交易

<input type="checkbox"/> Add 新增	<ul style="list-style-type: none"> • Trading Services 交易种类 <ul style="list-style-type: none"> <input type="checkbox"/> Hong Kong Stocks 港股 <input type="checkbox"/> German Stocks 德国股票 <input type="checkbox"/> Fund, Bonds & OTC Derivatives Products 基金、债券及场外衍生产品[^] <input type="checkbox"/> US Stocks 美国股票* <input type="checkbox"/> Shanghai B-shares 上海B股 <input type="checkbox"/> Shenzhen B-shares 深圳B股 <input type="checkbox"/> Swedish Stocks 瑞典股票 <input type="checkbox"/> Shenzhen-Hong Kong Stock Connect 深港通 <input type="checkbox"/> Shanghai-Hong Kong Stock Connect 沪港通 		
	<p>*For US Stocks, please complete W-8BEN Form 美国证券交易, 请递交W-8BEN 表格</p> <p>[^]Please complete the [Derivatives Knowledge Assessment Form] and [Client's Risk Profile Questionnaire]. 请填写[衍生工具知识评估问卷]及[客户风险取向评估问卷]。</p>		

D. Settlement Account Information 结算帐户资料 *Must be Hong Kong bank accounts in the name of client 必须为客户本人同名的香港存款帐户

<input type="checkbox"/> Add 新增	<input type="checkbox"/> Change 更改
Name of Bank 银行名称	
SWIFT CODE 银行国际代码	
Name of Bank Account 帐户名称	
Bank Account Number 帐户号码	(HKD港币/USD美元/CNY人民币/MTC多种货币)
This account will be updated as Standard Settlement Instruction. 此账户将更新为交收指示账户。	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

E. Reactive Dormant Account 重启不动户

<input type="checkbox"/> Reactivate Dormant Account 重启不动户 Reason for reactivation 重启账户原因: _____ I/We agree that the above request is subject to CMBI approval. 本人/我等同意上述要求需经招银国际审批。
<input type="checkbox"/> I/We confirm that there is no change of account information. 本人/我等确认帐户资料没有更新。

F. Withdrawal from being treated as a Professional Investor 撤回被视为专业投资者

<input type="checkbox"/> I request to withdraw from being treated as a Professional Investor. 本人/我等撤回被视为「专业投资者」资格。
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G. Other 其他

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I/We confirm that all the information provided in or otherwise in connection with this form is, and in respect of any information provided hereafter, shall be, at the time of provision, true, accurate, complete and up-to-date and in compliance with all applicable legal and regulatory requirements.

本人/我等确认本人/我等现时及其后于此表格或与其有关所提供之资料皆为真实、准确、完整、最新及遵从所有适用的法律和监管要求。

I/We agree that CMBI shall not be held responsible for any delay or failure in effecting my/our above instruction where such delay of failure is attributable (whether directly or indirectly) to any cause beyond CMBI's control and under no circumstances shall CMBI be responsible to me/us for any consequential or indirect losses arising out of or in connection with its carrying out or otherwise of my/our above instruction.

本人/我等明白当招银国际执行本人以上的指示时，若遇到任何非招银国际所控制的情况而（直接或间接）无法执行该指示，招银国际毋须负责。另外，因执行或不能执行本人/我等上述的指示而引致的任何相应或间接的损失，招银国际毋须对本人/我等负责。

Signature 签署

Date 日期

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