



For Bank Use Only 仅为银行使用

Customer ID: _____

Notes 注意事项:

- a. Please fill out the form in English Block Letters and check (☑) where appropriate. 请以英文印刷体填写表格, 并叉选(☑) 对应项目。
b. Please indicate N/A where appropriate. 请在不适用的栏目填写 N/A。

Account Information 账户信息				
Type of Account 账户类型				
Checking 支票账户	<input type="checkbox"/> USD 美元	<input type="checkbox"/> CNY 人民币	<input type="checkbox"/> HKD 港币	<input type="checkbox"/> Others 其他币种 _____
Savings 储蓄账户	<input type="checkbox"/> USD 美元	<input type="checkbox"/> CNY 人民币	<input type="checkbox"/> HKD 港币	<input type="checkbox"/> Others 其他币种 _____
Customer Information 客户信息				
First Name 名			Last Name 姓	
DOB(mm/dd/yyyy) 出生日期(月/日/年)			Gender 性别	New to CMB 招商银行新客户
			<input type="checkbox"/> Male 男	<input type="checkbox"/> Yes 是
			<input type="checkbox"/> Female 女	<input type="checkbox"/> No 否
Identification 身份证件				
U.S. Citizen <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 If not a U.S. Citizen, please fill out Country of Citizenship: _____ 美国公民 如果不是美国公民, 请填写国籍				
U.S. Tax ID Type 美国税号类型	<input type="checkbox"/> SSN 社会安全号 <input type="checkbox"/> ITIN 个人税号 <input type="checkbox"/> None 无		U.S. Tax ID No. (if applicable) 美国税号(如有)	
US Citizen ID Type 美国公民证件类型 <input type="checkbox"/> US Driver's License 美国驾驶执照 <input type="checkbox"/> US Passport w/photo 美国护照(带照片) <input type="checkbox"/> US State-Issued ID 美国州立身份证件 <input type="checkbox"/> Other US ID 其他美国证件			Non-US Citizen ID Type 非美国公民证件类型 <input type="checkbox"/> Passport 护照 <input type="checkbox"/> US Permanent Resident ID 美国永久居民证 <input type="checkbox"/> National ID w/photo 国家身份证件 <input type="checkbox"/> Other Government Issued ID 其他政府身份证件	
ID Number 证件号码			Issue Country 签发国家	
Issue Date 签发日期			Expiration Date 有效期至	
Contact Information 联系方式				
Residential/Primary Street Address 家庭住址			City 城市	
State/Province 州/省		Country 国家	Zip Code 邮编	
Mailing Address 邮寄地 址 (if different from residential address 如果与家庭地址不同)			City 城市	
State/Province 州/省		Country 国家	Zip Code 邮编	
Cell Phone 手机号码			Home Phone 家庭电话	
Office Phone 办公电话			Email 电子邮箱	
Note: Above phone numbers will be used for telephone verification. It is mandatory to provide our bank with a mobile phone number if the verifier is outside the U.S. 备注: 以上电话号码为指定联系电话, 用于我行核实相关业务的真实性。如账户持有人常驻地在不在美国, 请务必提供手机号码。				
An electronic monthly statement will be provided by email. 银行将以电子邮件形式按月发送对账单。				
Do you want to receive an additional paper statement by mail? 您是否需要额外邮寄纸质对账单? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是				



Political Exposed Person (PEP) 政治公众人物
<p>Are you currently or have you been entrusted with prominent public function? 您现在或曾经是否担任过政府重要职务?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes, if yes please specify title and duties: 否 是, 请填写具体职位和职能: _____</p>
<p>Are you a close associate or immediate family member of someone who is currently or has been entrusted with prominent public function? 和您关系密切的人或您的直系亲属现在或曾经是否担任过政府重要职务?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes, if yes please specify name, title and duties: 否 是, 请填写姓名, 具体职位和职能: _____</p>
Employment and Financial Information 职业与财务信息
<p>Occupation 职业</p> <p><input type="checkbox"/> Own Business/Self-Employed 私营业主或企业控股股东 Business Name (Chinese and English) 公司名称(中英文): _____ Business Address 经营地址: _____ Scope of Business 经营范围: _____ Years in Business 经营年数: _____ Most Recent Gross Annual Sales \$ 最近年年销售额(美元): _____ Business Website (if available) 公司网站(如有): _____</p> <p><input type="checkbox"/> Employed 雇员 Employer's Name (Chinese and English) 雇主名称(中英文): _____ Scope of Business 行业类型: _____ Number of Years 工作年数: _____ Position 职位: _____ Business Website (if available) 公司网站(如有): _____</p> <p><input type="checkbox"/> Other 其他: _____</p>
<p>Ongoing Income Information 持续收入信息</p> <p>Total Annual Income \$ 年收入总和(美元): _____</p> <p><input type="checkbox"/> Salary and Bonus 薪水与奖金 <input type="checkbox"/> Rental Property 房产租赁 <input type="checkbox"/> Trust 信托 <input type="checkbox"/> Retirement/Pension 退休金 <input type="checkbox"/> Annuity 年金 <input type="checkbox"/> Legal Settlement 法律契约 <input type="checkbox"/> Interest & Dividends 利息分红 <input type="checkbox"/> Other 其他: _____</p>
<p>Source of Wealth 财产来源</p> <p>Total Wealth \$ 总资产(美元): _____</p> <p>Total Net Worth \$ (Asset-Liabilities) 净资产(美元,总资产-负债): _____</p> <p><input type="checkbox"/> Income (As Stated Above) 收入(如以上所填) <input type="checkbox"/> Trust 信托 <input type="checkbox"/> Investment 投资收益 <input type="checkbox"/> Sold Business/Property 资产增值 <input type="checkbox"/> Inheritance 遗产 <input type="checkbox"/> Legal Settlement 法律契约赔付 <input type="checkbox"/> Real Estate 房地产 <input type="checkbox"/> Gift 赠与 <input type="checkbox"/> Insurance 保险赔付 <input type="checkbox"/> Additional Sources 其他来源: _____</p>
<p>Initial Source of Fund (within the first 6 months) 账户初始资金来源 (开户6个月内)</p> <p>Expected Funding Amount 预计初始存款: _____</p> <p><input type="checkbox"/> Own Personal Accounts, please specify 现自有存款, 请注明: _____ <input type="checkbox"/> Other Accounts, please specify 非自有存款, 请注明: _____</p>
<p>Additional Detailed Employment and Financial Information 其他需补充说明的职业与财务信息:</p>



Expected Account Activity 预期账户活动			
Purpose of the account 账户使用目的			
<input type="checkbox"/> Bank Deposit 银行存款	<input type="checkbox"/> Checks 支票	<input type="checkbox"/> Foreign Exchange 外汇兑换	<input type="checkbox"/> Investment 投资
<input type="checkbox"/> Fund Transfers 转账	<input type="checkbox"/> Bill Payment 付账单	<input type="checkbox"/> Custody Services 托管服务	<input type="checkbox"/> Other 其他:
Type of Transactions 交易种类			
<input type="checkbox"/> Wire Transfer 汇款 <input type="checkbox"/> Check Deposit/Issued 存/签发支票 <input type="checkbox"/> Other 其他:			
Expect Activity 预计活动			
• Estimated Dollar Range of Fund Transfer per transaction 预计交易金额范围:	Lowest Amount 单笔最低额\$ _____	Usual Range 常见范围	\$ _____ 至\$ _____
• Estimated Annual Number of Transactions Every Year 预计每年交易笔数:	Inward 汇入汇款 _____	Outward 汇出汇款 _____	
Beneficiary(ies) (Optional) 受益人(选填项)			
First Name 名		Last Name 姓	
DOB (mm/dd/yyyy) 出生日期(月/日/年)		Relationship with Account Holder 与账户持有人的关系	
Acknowledgment			
<p>1. I/We confirm I/We are the ultimate beneficial owner(s) and controller(s) of this account. 我/我们确认我/我们是这个账户的最终受益人和实际控制人。</p> <p>2. I/We confirm that the information provided in this <i>Account Opening Form</i> is true, accurate, and complete. I/We authorize China Merchants Bank – New York Branch (the “Bank”) to verify this information from any source the Bank deems appropriate. 我/我们确认开户表提供的信息全部属实准确以及完整。我/我们授权招商银行纽约分行从其认为合适的任意渠道证实我们提供的信息。</p> <p>3. I/We acknowledge that the use of my/our account(s) and/or any products or services offered by the Bank and the opening and/or use of additional accounts, products or services are governed by and subject to the terms and conditions set forth in the <i>Customer Account Agreement: Terms and Conditions (the “Customer Account Agreement”)</i> (as such terms and conditions may be amended from time to time) and any additional account-, product-, or service-specific terms and conditions set by the Bank, copies of which I/we have received, read and understood, and to which I/we agree to be bound. I/We agree that I/we shall not use any of the accounts, products and/or services offered without first having read and agreed to abide by the terms and conditions set forth in the <i>Customer Account Agreement</i> and any specific terms and conditions set by the Bank governing such accounts, products and services and that my/our use and/or an ailment of the benefits thereof signify my/our understanding of and agreement to be bound by the applicable terms and conditions for such accounts, products and services. 我/我们承认银行提供给我的/我们的账户和/或任何产品或服务的使用以及对额外账户的开户和使用，产品和服务都取决并服从于客户账户协议：条款和条件（这些条款和条件可能会随时间更改），和银行设定的额外的账户、产品或者服务的特别条款，我/我们收到了上述条款并已经阅读理解并同意受此约束。我/我们同意在没有阅读并同意遵守客户账户条约和其他任何银行支配的账户产品和服务的特别条款和条件时不得使用任何账户，我的/我们的使用和利益由此表明我/我们同意并愿意受这些可适用的关于这些账户，产品和服务的条款条件的约束。</p> <p>4. I/We acknowledge that I/we have received a copy of the Bank’s <i>AML Notice to Customers</i> (set forth in Section XIV.A. of the <i>Customer Account Agreement</i>) and agree to comply with the requirements set forth therein. 我/我们承诺我/我们已经收到银行提供的反洗钱法案通知副本（陈述在客户账户协议中 XIV.A. 部分），并同意遵守其所有条款。</p> <p>5. I/We acknowledge that I/we have received a copy of the Bank’s <i>RMB-denominated Account Disclosures</i>. I/We have carefully reviewed and understood the disclosure. I/We further represent, warrant and agree all the terms therein. 我/我们承诺我/我们已经收到了银行人民币账户披露。我/我们已经仔细阅读并理解披露。我/我们在此声明，保证和同意所有条款。</p> <p>6. I/We acknowledge that I/we have received a copy of the <i>CMB NY Privacy Notice</i>. I/We have carefully reviewed and understood the privacy notice. I/We further represent, warrant and agree all the terms therein. 我/我们承诺我/我们已经收到招商银行纽约分行隐私声明。我/我们已经仔细阅读并理解隐私声明。我/我们在此声明，保证和同意所有条款。</p> <p>7. I/We authorize the Bank, its officers and agents to disclose any information and particulars relating to my/our account(s) as the Bank may be required to disclose by applicable laws, rules and regulations. 我/我们授权银行员工和其代理人公开所有信息和账户细节，如果银行需要在相关法律法规和规章下出示。</p> <p>8. I/We are aware that Deposits are not insured by the Federal Deposit Insurance Corporation (“FDIC”). 我/我们知道存款不被美国联邦保险公司保障。</p> <p>9. I/We acknowledge that if I/we am/are a U.S. resident at the time of initial deposit, I/we am/are required to deposit an amount of no less than \$250,000 for the initial deposit or the deposit will be rejected. 我/我们知晓并确认，若在首次存款时我/我们是美国居民，我/我们在首次存款时必须存入不低于 250,000 美元的存款金额，否则该存款将会被拒绝。</p> <p>10. I/We acknowledge that if the status of my residency changes at any time (including but not limited to US resident, green card holder or citizen), I/we will notify China Merchants Bank Private Banking (New York) Center immediately. 我/我们承诺，如果我/我们的居民身份在任何时间发生改变(包括但不限于美国居民、绿卡持有者或公民)，我/我们将立刻通知招商银行私人银行（纽约）中心。</p> <p>11. I/We acknowledge that if the China Merchants Bank Private Banking (New York) Center does not receive the initial deposit within 120 calendar days after the account is opened, the bank reserves the right to close the account. 我/我们承诺，如果招商银行私人银行（纽约）中心在开户后 120 个日历天内未收到首笔存款，银行将保留关闭账户的权利。</p>			
Customer Signature 客户签名			
I/We hereby confirm that the details given above are correct. 我/我们在此确认上述所有内容正确。			
Date (mm/dd/yyyy) 日期(月/日/年)			



To be completed by CMBNY 招商银行纽约分行填写:	
Person inputting the information on the SPOSD list, please print name and sign below: SPOSD 名单录入人, 请以英文印刷体书写姓名并签名:	
Co-Marketing Branch Code 联动行行号	
Risk Assessment 尽职调查风险评估 <input type="checkbox"/> Low Risk 低风险 <input type="checkbox"/> Medium Risk 中风险 <input type="checkbox"/> High Risk 高风险	
Signature of Account Officer in NY Branch 纽约分行客户经理签名:	
Print Name 英文印刷体姓名:	
Date(mm/dd/yyyy)日期(月/日/年):	