

APPLICANT NAME: _____
申请人姓名 (Last/Family 姓氏) (First/Given 名字) (Middle Name 中间名)

DATE 日期: _____



CONFIDENTIAL INVESTOR QUESTIONNAIRE
投资人保密调查问卷

The purpose of this questionnaire is to help Civitas evaluate whether a prospective investor is eligible to make an investment. All information submitted to Civitas in this questionnaire and any attached documents will be confidential pursuant to our Privacy Policy, which you can review at www.civitascapital.com/privacy.

本调查问卷的目的在于帮助史维特斯评估潜在投资人是否符合投资的条件。所有通过本调查问卷向史维特斯提供的信息，包括任何附属资料，根据我们的保密规定均将成为保密资料，如欲了解我们的保密规定，请登陆 www.civitascapital.com/privacy。

INSTRUCTIONS 说明

Please complete this questionnaire completely. Enter “N/A” if any question is not applicable. Please do not leave blanks.

请完整填写本调查问卷。如果问题不适用您的情况，请填写“N/A”。请不要留空白。

- a. Complete this questionnaire for the primary applicant and joint applicant.
请就主申请人和联合申请人的情况完成本调查问卷。

2. Photo Identification Card copies

带有照片的身份证件副本

- a. Attach a legible copy of the photo page of the applicant’s Passport, Driver’s License, or other Photo Identification card.

请附上一份申请人的护照照片页、驾照、或者其它带有照片的身份证件的清晰副本

- b. If the signature page is separate from the photo page on any applicant’s Identification Card, also attach a legible copy of the signature page.

如果申请人的身份证件的签名页与照片页不在同一页上，请再附上一份签名页的清晰副本。

3. Return the questionnaire and passport copies to Civitas at:
请通过以下方式提交您的调查问卷和身份证件副本:

Fax 传真: +1 214 572 2398

or 或者

Email 电子邮件: info@civitascapital.com

PLEASE ANSWER ALL QUESTIONS. IF A QUESTION IS NOT APPLICABLE, ENTER "N/A".
请回答所有问题。如果问题不适用于您的情况，请填写“N/A”。



PRIMARY APPLICANT INFORMATION 主申请人信息

Name: _____
姓名 (Last/Family 姓氏) (First/Given 名字) (Middle Name 中间名)

Other Names Used or Aliases (including maiden name):
别名或其它曾用名 (包括婚前姓氏)

Full Name in Native Alphabet 中文全名: _____

US Social Security Number (if any): _____
若有，请提供美国社会安全号 (SSN)

National ID Number (if any): _____
若有，请提供身份证号码

Date of Birth: _____ / _____ / _____ Gender 性别: Male 男 Female 女
生日 (MM 月) (DD 日) (YYYY 年)

Passport Number 护照号码: _____

Country of Passport Issuance 护照签发国: _____

Country of Birth 出生国: _____

Country of Current Legal Residence 当前法定居住国: _____

Current Permanent Address 当前永久地址:

(Street # and Name 街道号和名称) (Apt. # 公寓号)

(City or Town 城市) (State or Province 州或省) (Country 国家) (Zip or Postal Code 邮编)

Current Marital Status 当前婚姻状态:

Single/Never Married Married Divorced Widowed
单身/从未结婚 已婚 离婚 丧偶

Number of Dependents (excluding spouse): _____
需要赡养/抚养的人数 (配偶除外)

Current Telephone Number: _____
电话 (Country Code 国家号) (Area Code 区号) (Number 号码)

Current Fax Number: _____
传真 (Country Code 国家号) (Area Code 区号) (Number 号码)

E-mail Address 电子邮件: _____

PLEASE ANSWER ALL QUESTIONS. IF A QUESTION IS NOT APPLICABLE, ENTER "N/A".

请回答所有问题。如果问题不适用于您的情况，请填写“N/A”。



English Proficiency 英语熟练程度:

Need Translator 需要翻译 Conversational 可以交流 Fluent 流利

Other Languages Spoken (if any): _____

若有，请列出其它会讲的语言

Full Name of Current Employer and Occupation (if any) 若有，请列出当前雇主和职位:

FOR PRIMARY APPLICANTS RESIDING IN THE UNITED STATES

适用于当前居住在美国的主申请人

Please fill out the information below if the primary applicant resides in the United States. If you do not reside in the United States, please check this box to indicate this section is not applicable:

如果主申请人当前居住在美国，请填写以下信息。如果没有居住在美国，请在方框中打勾以表明本部分内容不适用。

U.S. Address 美国地址:

(Street # and Name 街道号和名称) (Apt. # 公寓号)

(City or Town 城市)(State or Province 州或省)(Country 国家)(Zip or Postal Code 邮编)

Date of Arrival: ____ / ____ / ____
抵美日期 (MM 月) (DD 日) (YYYY 年)

Current Visa Type (if any) 若有，请说明当前签证类型: _____

I-94 Number: _____ I-94 Expiration Date: ____ / ____ / ____
I-94 号码 I-94 到期日 (MM 月) (DD 日) (YYYY 年)

Current Non-Immigrant Status (if any): _____

若有，请说明当前非移民状态

JOINT APPLICANT INFORMATION (IF APPLICABLE)

联合申请人信息 (若有)

Name 姓名: _____

(Last/Family 姓氏) (First/Given 名字) (Middle Name 中间名)

Other Names Used or Aliases (including maiden name):

别名或其它曾用名 (包括婚前姓氏)

PLEASE ANSWER ALL QUESTIONS. IF A QUESTION IS NOT APPLICABLE, ENTER "N/A".

请回答所有问题。如果问题不适用于您的情况，请填写“N/A”。



Full Name in Native Alphabet 中文全名: _____

US Social Security Number (if any): _____

若有，请提供美国社会安全号（SSN）

National ID Number (if any): _____

若有，请提供身份证号码

Date of Birth: ____/____/____ Gender 性别: Male 男 Female 女
生日 (MM 月) (DD 日) (YYYY 年)

Passport Number (if any) 若有，请提供护照号码: _____

Country of Passport Issuance 护照签发国: _____

Country of Birth 出生国: _____

Country of Current Legal Residence 当前法定居住国: _____

Current Email Address 电子邮件: _____

Full Name of Current Employer and Occupation (if any) 若有，请列出当前雇主和职位:

APPLICANT FINANCIAL INFORMATION 申请人财务信息

Please tell us your best estimate as to 关于以下信息，请作出您最好的估计:

ANNUAL INCOME ¹ 年收入	NET WORTH ² 净资产	LIQUID NET WORTH ³ 流动性净资产	TAX RATE (highest marginal) 最高边际税率
<input type="checkbox"/> <=\$100,000	<input type="checkbox"/> <=\$250,000	<input type="checkbox"/> <=\$250,000	<input type="checkbox"/> 0-15%
<input type="checkbox"/> \$100,001-250,000	<input type="checkbox"/> \$250,001-500,000	<input type="checkbox"/> \$250,001-500,000	<input type="checkbox"/> 16-25%
<input type="checkbox"/> \$250,001-500,000	<input type="checkbox"/> \$500,001-1,999,999	<input type="checkbox"/> \$500,001-1,000,000	<input type="checkbox"/> 26-30%
<input type="checkbox"/> >\$500,000	<input type="checkbox"/> \$2,000,000-5,000,000	<input type="checkbox"/> \$1,000,001-3,000,000	<input type="checkbox"/> 31-35%
	<input type="checkbox"/> >\$5,000,000	<input type="checkbox"/> >\$3,000,000	<input type="checkbox"/> >35%

INVESTMENT EXPERIENCE 投资经验

Please check the boxes that best describe your investment experience to date.

请在对您目前投资经验描述最恰当的方框中打勾。

¹ From all sources 所有来源

² Asset, excluding primary residence, minus any liabilities. 除去主要居所的资产减去负责

³ Assets readily converted to cash (savings, stocks, bonds, etc.) 随时可以变现的资产（存款、股票、债券等）

PLEASE ANSWER ALL QUESTIONS. IF A QUESTION IS NOT APPLICABLE, ENTER "N/A".
 请回答所有问题。如果问题不适用于您的情况，请填写“N/A”。



Investment 投资	Years experience 多少年经验			Transactions per year 每年进行的交易数量		
Mutual Funds/ Exchange Traded Funds 共同基金/交易所交易基金	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> >5	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> >15
Individual Stocks 股票	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> >5	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> >15
Bonds 债券	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> >5	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> >15
Options 期权	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> >5	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> >15
Securities Futures 证券期货	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> >5	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> >15
Annuities 年金	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> >5	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> >15
Alternative ⁴ 另类投资产品	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> >5	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> >15
Real Estate 房地产	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> >5			

DECISION-MAKING (check all that apply) 决策 (请选择所有适用项目)

- I consult with my broker, investment adviser, CPA, or other financial professional.
我咨询我的经纪人、投资顾问、会计师、或其它金融专业人士。
- I subscribe to private placement investments using a purchaser representative.
我通过买方代表认购私募投资。
- I generally make my own decisions and/or consult with my co-applicant(s).
我通常自己做决定并（或者）与我的联合申请人协商。
- I discuss investment decisions with family and/or friends.
我与家人以及（或者）朋友讨论投资决定。

INVESTMENT RISK TOLERANCE 投资风险承受能力

Please select the degree of risk you (and any co-applicants, if applicable) are willing to take with the assets in this account.

请选择您（以及所有联合申请人）对于此项投资的风险承受能力。

- Conservative. I want to preserve my initial principal in this account, with minimal risk, even if that means this account does not generate significant income or returns and may not keep pace with inflation.

⁴ May include structured products, hedge funds, etc. 可能包括结构性产品、对冲基金等。

PLEASE ANSWER ALL QUESTIONS. IF A QUESTION IS NOT APPLICABLE, ENTER "N/A".

请回答所有问题。如果问题不适用于您的情况，请填写“N/A”。



保守：我希望以最小的风险保护我的投资本金安全，即使这意味着投资不会产生较高的收益，或者无法抵御通货膨胀。

Moderately Conservative. I am willing to accept low risk to my initial principal, including low volatility, to seek a modest level of portfolio returns.

适度保守：我愿意接受较低的投资风险和波动性，以追求适度的投资收益。

Moderate. I am willing to accept some risk to my initial principal and tolerate some volatility to seek higher returns, and understand I could lose a portion of the money invested.

适度：我愿意接受一定程度的投资风险和波动性，以追求更高的收益，我明白这意味着我的部分投资本金可能损失。

Moderately Aggressive. I am willing to accept high risk to my initial principal, including high volatility, to seek high returns over time, and understand I could lose a substantial amount of the money invested.

适度激进：我愿意接受高风险和波动性，以追求长期的高收益，我明白我的一大部分投资本金可能损失。

Significant Risk. I am willing to accept maximum risk to my initial principal to aggressively seek maximum returns, and understand I could lose most, or all, of the money invested.

高风险（激进）：我愿意接受最大程度的投资风险以追求可能的最高收益，我明白我的绝大部分甚至全部的投资本金可能损失。

APPLICANT CERTIFICATION AND SIGNATURE 申请人确认和签字

I certify that all the information provided in this document is true and correct to the best of my knowledge.

我在此保证本文件中所提供的所有信息全部真实可靠。

Applicant's Printed Name

申请人姓名

Signature

签字

Date

日期