To 致： **The Hongkong and Shanghai Banking Corporation Limited**
香港上海滙豐銀行有限公司

INTEGRATED ACCOUNT - INVESTMENT SERVICES APPLICATION FORM 綜合理財戶口 - 投資服務申請表

Note 注意：1. Please complete in **Block Letters** and tick where applicable. 請用正楷填寫，並在適當的地方加上剔號。
2. All parties to sign for Joint Accounts. 如為聯名戶口，各人均須簽署。
3. Your request will normally be processed within 3 working days (excluding Saturday, Sunday and public holiday) upon receipt of your form.
在一般情況下，本行將在收到您的申請表後三個工作天內（不包括星期六、日及公眾假期）處理您的申請。
4. Fields printed in thick borders must be completed. 粗框部分必須填寫。

Date 日期	day 日 / month 月 / year 年

Customer Details 客戶資料

Customer Name 客戶姓名		Integrated Account Number 綜合理財戶口號碼 *(Please specify account suffix number 請註明戶口字尾號碼)*
Surname 姓▼	First Name 名▼	
1.		Contact Telephone Number 聯絡電話號碼
2.		

Important Notes on Contact Information 關於聯絡資料的重要事項

1. Please maintain a valid mobile phone number record with the Bank in order to receive mandatory notification of trade execution via SMS, or you will not be able to trade online or via mobile apps.
您必須於本行維持一個有效的流動電話號碼記錄，以便收取本行於您交易完成後向您發送執行交易的必要通知短訊，否則您便不能於網上進行交易。
2. Please note that online trading services will not be fully available to you until the next day after your investment account is activated. Alternatively, you may consider using other HSBC channels to place your trading order on the first day of account activation (if needed). For the avoidance of doubts, for any trading order placed via other channels, you are able to cancel it online or via mobile apps on the first day of account activation but you will not receive SMS notification for the cancellation orders.
請注意您需於啟動投資戶口的第二天才可完全使用網上交易服務。開戶首天請考慮使用滙豐的其他平台進行交易（如需要）。為免生疑問，您仍可於開戶首天透過網上理財或流動應用程式取消經滙豐的其他平台進行的任何投資交易，但您將不會收到該取消指示的短訊提示。
3. We recommend you to provide a valid personal email address to ensure that you can timely receive email notifications e.g. log-on notification emails, eAdvice from the Bank. 我們建議您提供有效的個人電郵地址，以確保您可不時收取本行發出的各項電郵通知，例如登入通知、電子通知書。
4. Please provide your personal mobile number / email address that is exclusively for your own use to ensure that your confidential account or transaction related information is delivered to the mobile number / email address that is accessible by you only.
請提供您個人專用的手提電話號碼 / 電郵地址，以確保有關閣下戶口或交易的信息被傳送到只能被閣下接收及開啟的手提電話 / 電郵地址。
5. Should you need to update your contact information, please log on to Personal Internet Banking and select "Personal details" under "My Profile" at the bottom of the page, then update your mobile phone number record and/or email address with your Mobile Security Key or Security Device. Alternatively, you can visit our branch in HK to update your contact information. 如欲更新您的聯絡資料，請登入個人網上理財後，在網頁底部的「我的個人資料」下選取「個人資料」以使用流動保安編碼或保安編碼器更新您的流動電話號碼記錄及 / 或電郵地址。您亦可親臨位於香港的任何一間分行辦理。

Instruction for Handling Settlement Amounts, Fees, Commissions, Dividend and Other Securities/Unit Trust-related Transactions
處理交收款項、收費、佣金、股息及其他與證券 / 單位信託基金有關的款項指示

Note 注意： 1. If secured credit has been set up in your Integrated Account, the account with the secured credit should be the same as the selected account as below. Otherwise, the secured credit facility account in Integrated Account is changed to the selected account.
如抵押信貸已設立於綜合理財戶口，設有抵押信貸的戶口必須與以下的戶口相同。否則，其綜合理財戶口內的相關的抵押信貸戶口同時更改為下列指定的戶口。
2. The settlement account of an Investment Services Account with suffix number 393 should be the same settlement account as that of an Investment Services Account with suffix number 380. 投資服務戶口字尾號碼 393 的交收戶口必須與投資服務戶口字尾號碼 380 的交收戶口相同。

Credit to / Debit from 款項存入 / 扣自： ☐ Integrated Savings 綜合儲蓄 ☐ Integrated Current 綜合往來

Questionnaire 問卷

1. Investment Experience 投資經驗
Types of product(s) you have previously invested *(Please choose one or more)* 您曾經投資過的產品 *（請選擇下列一項或多項）*
☐ Bonds/CD 債券 / 存款證 ☐ Stocks 股票 ☐ Unit Trusts 單位信託基金 ☐ Futures & Options 期貨及期權 ☐ Derivatives 衍生工具 ☐ None 沒有
Years of Investment Experience 投資年期
☐ Less than 1 year 少於一年 ☐ 1 - 4 years 一至四年 ☐ 5 - 10 years 五至十年 ☐ More than 10 years 十年以上
2. Investment Objectives 投資目標
☐ Speculation 投機 ☐ Capital Appreciation 資本增值 ☐ Regular Income 定期收入
3. Financial Situation 財務狀況
Estimated Networth *(i.e. Total Asset less Total Liabilities)* 估計資產淨值 *（總資產減總負債）*
☐ Less than or equal to HKD500,000 少於或等於港幣 500,000 ☐ HKD500,001 to HKD1,000,000 港幣 500,001 至港幣 1,000,000
☐ HKD1,000,001 to HKD5,000,000 港幣 1,000,001 至港幣 5,000,000 ☐ HKD5,000,001 or above 港幣 5,000,001 或以上

Note 注意： In order to open an Investment Services Account and to comply with regulatory requirements, please complete the above questionnaire.
為開立投資戶口及符合法規要求，請回答以上問卷。

Employment Information 職業資料

Principal/Sole Account Holder 第一 / 獨立戶口持有人

Employment Status 職業狀況

☐ *(S)* + Self-Employed + 自僱 ☐ *(F)* + Full-time Employed+ 全職 ☐ *(P)* + Part-time Employed + 兼職 ☐ *(X)* Not Currently Employed 非在職

☐ *(T)* Student 學生 ☐ *(H)* Housewife 主婦 ☐ *(R) Retired* 退休

+*For self-employed, full-time employed or part-time employed Customers, please also complete the employment information below:*
+*自僱，全職或兼職的客戶，亦須填寫下列的職業資料：*

Occupation 職業

Job Title *(if applicable)* 工作職位（*如適用*）

Employment Start Date *(if applicable)* 任職日期（*如適用*） *(Month/Year 月 / 年)*

Name of Employer/Business 僱主 / 公司名稱

Monthly Salary (HKD) 月薪（港幣）

☐ *(0)* below 5,000 以下 ☐ *(5)* 30,000 - 49,999
☐ *(1)* 5,000 - 9,999 ☐ *(6)* 50,000 - 69,999
☐ *(2)* 10,000 - 14,999 ☐ *(7)* 70,000 - 99,999
☐ *(3)* 15,000 - 19,999 ☐ *(8)* 100,000 - 199,999
☐ *(4)* 20,000 - 29,999 ☐ *(9)* 200,000 or above 或以上

Employer/Business Industry 僱主 / 公司業務

☐ Manufacturing 製造 ☐ Import/Export/Wholesale 出入口 / 批發 ☐ Finance/Insurance 金融 / 保險 ☐ Construction 建築
☐ Communications 通訊 ☐ Retail 零售 ☐ Business Services 商用服務 ☐ Transport 運輸
☐ Real Estate 地產 ☐ Restaurants 飲食 ☐ Public Services 公共服務 ☐ Hotel/Boarding Houses 酒店 / 旅館
☐ Personal and Household Services 個人 / 家居服務 ☐ Amusement & Recreation Services 遊樂園及康樂活動 ☐ Primary & Pre-primary Education 小學及學前教育 ☐ General Secondary Education 中學
☐ Tech & Vocational Sec Edu 職業及專業教育 ☐ Higher Edu & University 大學及專上課程 ☐ Engineering 工程
☐ Hairdressing & Beauty 理髮及美容 ☐ Health Care 醫療服務 ☐ Union & Organisations 工會 / 組織活動
☐ Legal 法律 ☐ Leisure & Entertainment 娛樂 ☐ Charity (Non Govt Bodies) 慈善活動 ☐ Travel & Tourism 旅遊
☐ Utilities (Electricity) 公用事業（電力） ☐ Utilities (Gas) 公用事業（煤氣） ☐ Utilities (Water) 公用事業（水務）
☐ Science and Technology 科學及資訊科技 ☐ Industrial 工業 ☐ Logistics 物流 ☐ Sports Activities 體育活動
☐ Other *(please specify)* 其他（*請說明*）:

Joint Account Holder 聯名戶口持有人 *(if any 如有)*

Employment Status 職業狀況

☐ *(S)* + Self-Employed + 自僱 ☐ *(F)* + Full-time Employed+ 全職 ☐ *(P)* + Part-time Employed + 兼職 ☐ *(X)* Not Currently Employed 非在職

☐ *(T)* Student 學生 ☐ *(H)* Housewife 主婦 ☐ *(R) Retired* 退休

+*For self-employed, full-time employed or part-time employed Customers, please also complete the employment information below:*
+*自僱，全職或兼職的客戶，亦須填寫下列的職業資料：*

Occupation 職業

Job Title *(if applicable)* 工作職位（*如適用*）

Employment Start Date *(if applicable)* 任職日期（*如適用*） *(Month/Year 月 / 年)*

Name of Employer/Business 僱主 / 公司名稱

Monthly Salary (HKD) 月薪（港幣）

☐ *(0)* below 5,000 以下 ☐ *(5)* 30,000 - 49,999
☐ *(1)* 5,000 - 9,999 ☐ *(6)* 50,000 - 69,999
☐ *(2)* 10,000 - 14,999 ☐ *(7)* 70,000 - 99,999
☐ *(3)* 15,000 - 19,999 ☐ *(8)* 100,000 - 199,999
☐ *(4)* 20,000 - 29,999 ☐ *(9)* 200,000 or above 或以上

Employer/Business Industry 僱主 / 公司業務

☐ Manufacturing 製造 ☐ Import/Export/Wholesale 出入口 / 批發 ☐ Finance/Insurance 金融 / 保險 ☐ Construction 建築
☐ Communications 通訊 ☐ Retail 零售 ☐ Business Services 商用服務 ☐ Transport 運輸
☐ Real Estate 地產 ☐ Restaurants 飲食 ☐ Public Services 公共服務 ☐ Hotel/Boarding Houses 酒店 / 旅館
☐ Personal and Household Services 個人 / 家居服務 ☐ Amusement & Recreation Services 遊樂園及康樂活動 ☐ Primary & Pre-primary Education 小學及學前教育 ☐ General Secondary Education 中學
☐ Tech & Vocational Sec Edu 職業及專業教育 ☐ Higher Edu & University 大學及專上課程 ☐ Engineering 工程
☐ Hairdressing & Beauty 理髮及美容 ☐ Health Care 醫療服務 ☐ Union & Organisations 工會 / 組織活動
☐ Legal 法律 ☐ Leisure & Entertainment 娛樂 ☐ Charity (Non Govt Bodies) 慈善活動 ☐ Travel & Tourism 旅遊
☐ Utilities (Electricity) 公用事業（電力） ☐ Utilities (Gas) 公用事業（煤氣） ☐ Utilities (Water) 公用事業（水務）
☐ Science and Technology 科學及資訊科技 ☐ Industrial 工業 ☐ Logistics 物流 ☐ Sports Activities 體育活動
☐ Other *(please specify)* 其他（*請說明*）:

Free *e*Alert Service 免費「*e* 提示」服務

✠IPO Update *e*Alerts ✠首次公開招股計劃最新消息「*e* 提示」

Note 注意： 1. Mobile Phone Number must be provided in Section I of "Integrated Account Opening Form" and Hong Kong based beginning with '9', '8', '7', '6', '5' or '4' for *e*Alerts by SMS. 接收短訊的「*e* 提示」，請在「綜合理財戶口開戶表」的第一部分填寫香港流動電話號碼，而字頭必須為 '9'、'8'、'7'、'6'、'5' 或 '4'。

2. Email Address must be provided in Section I of "Integrated Account Opening Form" for *e*Alerts by Email. 接收電郵的「*e* 提示」，請在「綜合理財戶口開戶表」的第一部分填寫電郵地址。

3. ✠ Customers who are identified as US Persons and have maintained any US residential / correspondence / work address in our records will not be able to subscribe for or receive *e*Alert for IPO Update. 本行視為「美國人士」並於本行登記了美國居住 / 通訊 / 工作地址的客戶將不能設立或接收「首次公開招股計劃最新消息」的「*e* 提示」。

Principal/Sole Account Holder 第一 / 獨立戶口持有人

*e*Alerts Type 「*e* 提示」種類	I would like to apply for free 本人現申請免費的 ☐ ✠IPO Update *e*Alerts 首次公開招股計劃最新消息「*e* 提示」	
*e*Alerts Greeting Name 收件人姓名 *(e.g. Nickname 如：暱稱)*		
*e*Alerts Channels 接收「*e* 提示」方法	✠IPO Update *e*Alerts 首次公開招股計劃最新消息「*e* 提示」： ☐ Email 電郵 ☐ SMS 短訊	
Mobile Phone Number 流動電話號碼	*(Must be Hong Kong based beginning with '9', '8', '7', '6', '5' or '4' 電話號碼字頭必須為 '9'、'8'、'7'、'6'、'5' 或 '4' 的香港流動電話)*	
Email Address 電郵地址		
*e*Alerts Language 「*e* 提示」所用語言	SMS 短訊： ☐ English 英文 ☐ Chinese 中文	Email 電郵： ☐ English 英文 ☐ Chinese 中文
Free Promotion *e*Alerts 免費推廣「*e* 提示」	I would like to receive free promotional *e*Alerts 本人願意接收免費推廣「*e* 提示」 ☐ Yes 是 ☐ No 否	

Joint Account Holder 聯名戶口持有人

*e*Alerts Type 「*e* 提示」種類	I would like to apply for free 本人現申請免費的 ☐ ✠IPO Update *e*Alerts 首次公開招股計劃最新消息「*e* 提示」	
*e*Alerts Greeting Name 收件人姓名 *(e.g. Nickname 如：暱稱)*		
*e*Alerts Channels 接收「*e* 提示」方法	✠IPO Update *e*Alerts 首次公開招股計劃最新消息「*e* 提示」： ☐ Email 電郵 ☐ SMS 短訊	
Mobile Phone Number 流動電話號碼	*(Must be Hong Kong based beginning with '9', '8', '7', '6', '5' or '4' 電話號碼字頭必須為 '9'、'8'、'7'、'6'、'5' 或 '4' 的香港流動電話)*	
Email Address 電郵地址		
*e*Alerts Language 「*e* 提示」所用語言	SMS 短訊： ☐ English 英文 ☐ Chinese 中文	Email 電郵： ☐ English 英文 ☐ Chinese 中文
Free Promotion *e*Alerts 免費推廣「*e* 提示」	I would like to receive free promotional *e*Alerts 本人願意接收免費推廣「*e* 提示」 ☐ Yes 是 ☐ No 否	

Deposit Protection Scheme 存款保障計劃

Please note that Certificates of Deposit are not protected deposits and are not protected by the Deposit Protection Scheme in Hong Kong. Please acknowledge receipt and your understanding of the foregoing by signing below.
請注意存款證並不屬於受保障存款及不會受香港的存款保障計劃保障。請按下簽署以作確認明白上述的資料。

Declaration 聲明

1. I/We confirm that I/we am/are acting as principal(s) in relation to the Investment Services Account(s).
本人（等）確認本人（等）是以主事人身分在投資服務戶口進行交易。
2. I/We confirm that I/we have been provided the risk disclosure statements and Explanation of Risk for Listed Derivatives (applicable for Investment Services Account with account suffix number 380) in the language of my/our choice (English or Chinese); and I/we have been invited to read the risk disclosure statements and Explanation of Risk for Listed Derivatives (applicable for Investment Services Account with account suffix number 380), to ask questions and to take independent advice if I/we wish.
本人（等）確認已按照本人（等）選擇的語言（英文或中文）獲提供風險披露聲明及上市衍生產品的風險說明（適用於戶口字尾號碼 380 的投資服務戶口）；及已獲邀閱讀該風險聲明及上市衍生產品的風險說明（適用於戶口字尾號碼 380 的投資服務戶口）、提出問題及徵求獨立的意見〔如本人（等）有此意願〕。
3. I/We hereby confirm that I/we am/are NOT (1) resident(s), citizen(s) or tax payer(s) of the United States of America ("US") [and none of my/our address(es) on your record is in the US] or (2) residents of Canada ("CA") or (3) national(s) of South Korea who is/are also resident(s) of South Korea ("KR"), whether for US, CA or KR securities or tax laws or for any other purposes. I/We also confirm that I/we am/are not acting as agent on behalf of any US resident and/or US citizen and/or US tax payer and/or CA resident and/or any KR resident who is also KR national. I/We undertake to immediately notify you should I/we (in case of joint account holders, any one of us) become or be deemed to be (1) resident(s), citizen(s) or tax payer(s) of the US or (2) resident(s) of CA or (3) national(s) and resident(s) of KR or (4) if any of my/our address(es) on your record is or should be changed to US at any future time.
本人（等）確認，無論就美國或加拿大或南韓的證券或稅務法例或其他方面而言，本人（等）均並非（1）美國居民或美國公民或美國納稅人〔及本人（等）並沒有美國地址在貴行的紀錄內〕或（2）加拿大居民，或（3）南韓公民而同時為南韓居民。本人（等）亦確認，本人（等）並不代表任何美國居民及 / 或美國公民及 / 或美國納稅人及 / 或加拿大居民，及 / 或南韓居民而同時為南韓公民行事。本人（等）承諾，如本人（等）（如為聯名戶口，則其中任何一位戶口持有人）日後成為或被視為（1）美國居民或美國公民或美國納稅人或（2）加拿大居民或（3）南韓公民而同時為南韓居民或（4）本人（等）的地址是或應改為美國地址，將立即通知貴行。
4. I/We declare that I/we am/are not currently employed by any licensed or registered person to carry on regulated activities as defined in the Securities and Futures Ordinance ("Ordinance"). Otherwise, I/we understand that I/we am/are required to provide to the Bank written consent(s) from my/our employer(s) before I/we can open and operate this Investment Services Account. I/We undertake to promptly notify the Bank if I/we become or cease to be employed by any licensed or registered person to carry out regulated activities.
本人（等）確認本人（等）現時並非受僱於任何持牌法團或註冊機構從事證券及期貨條例(「條例」)界定的受規管活動；否則本人（等）明白本人（等）須向貴行提供本人（等）僱主所發出的同意書方可以於貴行開立及使用這投資服務戶口。本人（等）並承諾如將受僱或不再受僱於任何持牌法團或註冊機構從事受規管活動時，立即通知貴行。

   Note 注意： A licensed person means a licensed corporation licensed under the Ordinance. A registered person means a registered institution registered under the Ordinance. 持牌法團指根據該條例獲批給牌照的持牌法團。註冊機構指根據該條例註冊的認可財務機構。
5. I/We understand that the remuneration for sales staff is determined based on the staff's overall performance with reference to a wide range of factors, and is subject to review from time to time, for the purpose of encouraging the building of deep, long-lasting and mutually valuable relationships with customers. It is not determined solely on financial performance.
本人（等）明白為鼓勵銷售人員與客戶建立深厚、持久及互利的關係，其薪酬會參照多種因素及因應其整體表現不時檢討，並不單純按其財務表現來釐定。
6. I/We have read and understand the Integrated Account Terms and Conditions, and agree to be governed by them.
本人（等）經已閱讀及明白綜合理財戶口條款及細則，並同意接受該等條款的約束。
7. I/We acknowledge that I/we have received and understand that Certificates of Deposit are not protected deposits and are not protected by the Deposit Protection Scheme in Hong Kong. 本人（等）確認已收到通知，並明白存款證並不屬於受保障存款及不會受香港的存款保障計劃保障。
8. I/We hereby declare that I/we have read and understood the Terms and Conditions for HSBC's *e*Alerts Service and agree to be bound by them.
本人（等）確認本人（等）已閱讀及明白滙豐「*e* 提示」服務條款及條件，並同意接受該等條款所約束。
9. I/We, the undersigned, confirm that the Bank has not provided any tax or legal advice to me/us.
本人（等），即表格簽署人，謹此確定貴行並無向本人（等）提供任何稅務或法律意見。
10. I/We agree that the Bank may use and disclose all personal data about me/us that the Bank currently or subsequently holds for the purposes as set out in the Notice relating to the Personal Data (Privacy) Ordinance (see attachment).
本人（等）同意貴行可以根據列載於《關於個人資料（私隱）條例的通知》（見附件）的用途，而使用和披露貴行目前或隨後持有的有關本人（等）的所有個人資料。

Note 注意： **For customers who started banking with us before 16 June 2014**

By signing this application form, you agree that we may use and disclose all personal data about you that we currently or subsequently hold for the purposes as set out in the Notice relating to the Personal Data (Privacy) Ordinance. These include new purposes relating to our provision of services and enable us to use your personal data within and outside Hong Kong in order that we comply with the following current or future obligations, commitments or arrangements: obligations according to local or foreign laws, regulations, judgments or court orders including those that relate to Unlawful Activities; obligations according to guidelines, guidance or codes issued by local or foreign bodies or authorities (whether governmental, tax, law enforcement, regulatory, judicial, industry or others), or international guidance or internal policies and procedures, including those that relate to Unlawful Activities; requests from local or foreign bodies or authorities; commitments undertaken by us or the HSBC Group with local or foreign bodies or authorities; obligations according to agreement or treaty between local or foreign bodies or authorities; and obligations according to the HSBC Group's internal policies and procedures for use and sharing of data and information. *"Unlawful Activities" include money laundering, terrorist financing, bribery, corruption, tax evasion, fraud or sanctions.*

2014 年 6 月 16 日前成為本行客戶的人士請注意

閣下簽署此申請表，即表示同意本行可以根據列載於《關於個人資料（私隱）條例的通知》的用途，而使用和披露本行目前或隨後持有的有關閣下的所有個人資料。該通知載有若干新用途，其中包括有關於本行向閣下提供的服務，促使本行在香港境內和香港境外使用閣下的個人資料，以遵守本行或滙豐集團不論目前或未來將須或預期遵守有關義務、承擔或安排，這包括：根據本地或外國法律、法規、判決或法院法令的義務，包括與不合法活動相關的義務；根據本地組織或機構或外國組織或機構（不論是政府、稅務、執法、監管、司法、行業或其他）發出的指引、指導或守則，或國際指引或內部政策和程序的義務，包括與不合法活動相關的指引、指導或守則；來自本地組織或機構或外國組織或機構的要求；本行或滙豐集團與本地組織或機構或外國組織或機構作出的承擔；根據本地組織或機構或外國組織或機構之間簽訂的協議或條約的義務；以及根據滙豐集團有關使用和共用數據和資料的內部政策和程序的義務。*「不合法活動」包括洗黑錢、資助恐怖主義、賄賂、貪污、逃稅、詐騙或制裁。*

11. *(Applicable to application for FundMax account, i.e. Investment Services Account with suffix number 393 只適用於申請 FundMax 戶口，即投資服務戶口字尾號碼 393)*
I/We have read and understood the FundMax Account Terms and Conditions, and agree to be governed by them. I/We hereby confirm that the factsheet governing the portfolio building service has been provided to me/us. I/We acknowledge that the portfolio building service is provided to me/us as an optional service and that I/we have to read and understand that factsheet including the risk disclosure statements contained therein before signing up for the portfolio building service. 本人（等）經已閱讀及明白 FundMax 戶口條款及細則，並同意接受該等條款的約束。本人（等）確認有關投資組合策劃服務簡介已提供給本人（等）。本人（等）知悉投資組合策劃服務乃選項服務，及本人（等）須於申請投資組合策劃服務前閱讀及明白該簡介包括風險披露聲明。

Declaration (Continued) 聲明（續）

12. *(Applicable to application for U.S. Securities Trading Services* 適用於美國證券買賣服務的申請*)*
    The Customer represents, warrants, confirms and undertakes as follows 客戶陳述、保證、確認和承諾如下：
    a. where the Customer trades any Products traded in the U.S., that the Customer is not a "U.S. Person" as stipulated in part A (1.1) of Investment Services Account Terms and Conditions, and that in the event that the Customer becomes such a person, the Customer will notify the Bank immediately and will transfer all of his holdings in Products traded in the United States within a month of the occurrence of the event or any other period as determined by the Bank, and the Customer acknowledges that in that case all the income, proceeds, interest and distribution arising from such Products shall be subject to the maximum withholding tax rate or any other withholding tax rate as determined by the Bank from time to time;
    倘若客戶買賣任何在美國交易的產品，客戶並非「美國人士」（根據投資服務戶口第 A 節 1.1 部分的一般條款和條件的定義及釋義），而且，倘若客戶成為「美國人士」，客戶應立即通知本行，並於該等情況發生後一個月內（或本行決定的任何其他時限內）將其持有的所有在美國交易的產品的權益轉讓；客戶確認，在該等情況下，因該等產品產生的所有入息、收益、利息和分派均應按最高的預扣稅稅率或本行不時決定的任何其他預扣稅預扣；
    b. that the Customer is not a director or officer, or shareholder who holds 10% or more of the interests in the shares of, a company listed on any stock exchange in the United States; 客戶並非在美國任何證券交易所上市的任何公司的董事或行政人員，亦非持有任何此類上市公司的百分之十或以上股權的股東；
    c. that the Customer is not 客戶：
        i) registered or qualified with the Securities and Exchange Commission of the United States, the Commodities Futures Trading Commission of the United States, any state securities agency, any securities exchange or association, or any commodities or futures contract market or association;
        並無於美國證券交易委員會、美國商品期貨交易委員會、任何州份的證券代理機構、任何證券交易所或協會，或者任何商品或期貨合約市場或協會註冊或具備上述機構或組織的會員資格；
        ii) engaged as an "investment advisor" as that term is defined in Section 202 (11)(a) of the Investment Advisor's Act of 1940 (whether or not registered or qualified under that Act); or
        並無受聘擔任為《1940 年投資顧問法》第 202 (11)(a) 條所定義的「投資顧問」（不論是否已按該法註冊或獲得該法要求的資格）；或
        iii) employed by a bank or other organisation exempt from registration under Federal and/or state securities laws to perform functions that would require him to be so registered or qualified if he were to perform such functions for an organisation not so exempt, and
        並無受僱於獲豁免根據聯邦及／或州的證券法律註冊的銀行或其他機構以履行其若受僱於不獲該等豁免的機構則須如此註冊或具備如此資格方可履行的職責，及

    in the event that the Customer becomes so registered, qualified, engaged or employed he will notify the Bank immediately. In the event that the Customer is or becomes deemed by any U.S. Market Data Provider to be so registered, qualified, engaged or employed the Customer agrees that the Bank shall have the right to pass on to the Customer any additional market data subscription fees and any other fees and costs incurred as a result of or in connection with the foregoing. 倘若客戶後來如上述所言獲得註冊、獲得資格、受聘或受僱，客戶應立即通知本行。倘若客戶成為或被任何美國市場數據提供者視為如上所述已經註冊、獲得資格、受聘或受僱的人士，則客戶同意本行有權將任何額外的市場數據訂閱費以及由此而引起的或與之有關的任何其他收費和費用轉嫁給客戶。

S.V.

X

Signature of Principal/Sole Account Holder 第一／獨立戶口持有人簽署

Identification Document Details 身分證明文件資料

Type 種類	Number 號碼

S.V.

X

Signature of Joint Account Holder 聯名戶口持有人簽署

Identification Document Details 身分證明文件資料

Type 種類	Number 號碼

For Bank Use Only 銀行專用

Staff Declaration

I hereby declare that

1. the risk disclosure statements in the language of the customer's choice (English or Chinese) have been provided to the customer(s); and the customer(s) has/have been invited to read the risk disclosure statements, ask questions and to take independent advice if the customer(s) so wishes/wish.
2. I have already explained to the customer(s) that if he/she is or they are currently employed by any registered or licensed person to carry on regulated activities, the customer(s) is/are required to provide to the Bank a written consent(s) from his/her/their employer(s) in support of this investment services application.

Writtern Consent Received ☐ Yes

[For joint account, specify customer name(s)]

Signature ▲ HKMA Registration Number:

Name of Staff (*in **Block Letters***):

Regulatory Requirement - Derivative Knowledge/Explanation of Derivative-related Risks

☐ Provided and gone through with customer the explanation of risk on listed derivatives. Explanation of risk (generic) updated in CRMS (applicable to 380 account suffix only).

☐ Derivative Training updated in CRMS for customer(s) who have gone through training during investment account opening.

Investment Services Account Suffix	Change IPS Account with Secured Credit ☐ Yes ☐ No	Checked by	Branch Chop and Authorised Signature
CDS Checked	Reporting Currency		