

# Account Opening Form and Customer Information Statement (Individual/Joint Account)

開戶表格及客戶資料聲明書（個人／聯名戶口）

**To :** HSBC Broking Services (Asia) Limited 滙豐金融服務（亞洲）有限公司  
**致 :** HSBC Broking Securities (Asia) Limited 滙豐金融證券（亞洲）有限公司  
 HSBC Broking Futures (Asia) Limited 滙豐金融期貨（亞洲）有限公司  
 HSBC Broking Forex (Asia) Limited\*<sup>1</sup> 滙豐金融外匯（亞洲）有限公司\*<sup>1</sup>  
 (“relevant HSBC Broking Companies” refers to any or all of the above companies with which the Customer is applying for an account through this document)  
 （「相關滙豐金融公司」指客戶現正透過本文件申請在任何或所有上述公司開戶的公司）

**Note :** 1. The Customer is required to provide up-to-date, complete and accurate information to us in order for us to comply with the applicable laws and regulations and for the Customer to receive the appropriate financial services. This document will assist us in considering potentially suitable products for the Customer. The Customer's failure to provide information that is up-to-date, complete and accurate would materially affect our suitability assessment. The relevant HSBC Broking Companies accept no responsibility or liability as to the accuracy or completeness of the information given by the Customer. If insufficient information is provided by the Customer, we shall be unable to provide our services to the Customer.  
**ALL INFORMATION PROVIDED IN THIS DOCUMENT WILL BE HELD IN ACCORDANCE WITH OUR LATEST DATA PRIVACY POLICY.**  
 客戶必須向本公司提供最新、完整及正確的資料，以便本公司能遵從適用法律及條例，使客戶能獲得恰當的金融服務。此文件將會協助本公司向客戶提供合適產品。如客戶未能提供最新、完整和準確的資料將會嚴重影響本公司作出合適性評估。相關滙豐金融公司不會為客戶提供的信息的準確性或完整性承擔任何責任或義務。若客戶所提供的資料不足，本公司將不能為客戶提供服務。  
 本公司對於閣下在本文件內所提供的**所有資料，將按本公司最新有關資料私隱政策處理。**

**注意 :** 2. For Joint Accounts, each account holder is required to fill in a separate “Account Opening Form and Customer Information Statement (Joint Account Holder)”.  
 每位其他聯名戶口持有人必需各自填寫一份「開戶表格及客戶資料聲明書（聯名戶口持有人）」。

3. 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。

4. Information with shading must be completed. Please fill in “N/A” if not applicable.  
 陰影部分的資料必須填寫。如不適用，請填寫“N/A”。

5. The results of the Customer Risk Profiling Questionnaire in Part II, including the Customer's assessed risk tolerance profile, will be derived from information the Customer provides to the relevant HSBC Broking Companies, and will only serve as a reference for the Customer's consideration when making his/her own investment decisions. The CRPQ and the results are not an offer or solicitation to buy or sell, or a recommendation of any product or service, and they should not be considered as investment advice. The Customer should also consider his/her own circumstances, including but not limited to his/her financial situation, investment experience and investment objectives, before making any investment decisions. The results of this CRPQ may be different from the result(s) of risk profile questionnaire(s) that he/she may have completed with other financial institutions within or outside the HSBC Group.  
 本表格第 II 部分之客戶風險問卷的結果（包括客戶的投資風險承受取向）將從客戶提供給相關滙豐金融公司的資料中獲得，並僅作為客戶在作出他／她的投資決定時的參考。此客戶風險問卷及其結果將不構成要約或招攬買賣，或推薦任何產品或服務，亦不應被視為投資建議。客戶在做出任何投資決定之前，應該考慮自己的個人狀況，包括但不限於他／她的財務狀況，投資經驗和投資目標。此問卷的結果亦有可能與他／她於其他金融機構或滙豐集團內其他成員得出的風險承受取向結果不同。

## I. Account Information 申請戶口資料 (For Relationship Manager to complete) (由客戶經理填寫)

1. Type of Account Holder 戶口持有人類別	<input type="checkbox"/> Individual 個人 <input type="checkbox"/> Joint 聯名 Total number of joint account holders: _____ 聯名戶口持有人人數
2. Account Number 戶口號碼	
3. Name(s) of the Account Holder(s) in English 戶口持有人英文姓名	

\*1 Leveraged foreign exchange trading is not available to persons resident in mainland China.  
 槓桿式外匯買賣服務不會提供予中國內地居民。



**Section A – This section should be completed by the  
Principal/Sole Account Holder**

甲部 – 此部分由第一／獨立戶口持有人填寫

## II. Customer Risk Profiling Questionnaire (“CRPQ”) 客戶風險取向問卷

This Part is designed to help you consider your risk tolerance profile and the corresponding investment objective. It asks multiple choice questions that provide some indication of the risk tolerance for typical investors. It may not exactly match your actual attitude toward investment risk, but it may be taken as a reference to indicate the profile you may fit into.

In general, investing involves a trade-off between risk and return. Investments carrying a higher risk come with the potential of achieving more gains, but also a higher possibility of incurring considerable losses. It has been historically shown that investors who achieve higher returns have experienced correspondingly high fluctuations and losses.

這部分是為幫助您評估投資風險承受取向及對應的投資目標而設的。問卷中的多項選擇題能顯示典型投資者的風險承受能力。這部分會顯示符合您特性的投資風險取向以作參考，但未必與您的實際投資風險取向相符。

一般而言，投資通常是風險與回報的取捨。較高風險的投資可取得較高潛在收益，然而亦較容易招致相當的損失。獲得高回報的投資者往往承受的波動與損失風險較高。

### 1. What is the highest level of investment loss in your portfolio that you can tolerate?

您可接受投資組合最多的虧損程度是多少？

- a. No investment loss at all  
不接受任何虧損
- b. 10% or below  
10%或以下
- c. Over 10% up to 20%  
多過 10%至 20%
- d. Over 20% up to 35%  
多過 20%至 35%
- e. More than 35%  
多過 35%

### 2. Investment value can go up and down over time. What is the highest level of price fluctuation that you are willing to accept for a single investment?

投資產品價格可升可跌，在單項投資上，您願意接受最多的價格波動是多少？

- a. Can move between +8% and -8%  
上下波幅不超過 8%
- b. Can move between +35% and -35%  
上下波幅不超過 35%
- c. Can move between +100% and -100%  
上下波幅不超過 100%
- d. Can move beyond +100% and -100%  
上下波幅超過 100%

### 3. Which of the following best describes your investment goal and risk tolerance level?

以下哪一項最切合您的投資目標及風險承受水平？

- a. To achieve return above short term fixed income rates, and buy products primarily for income generation, able to tolerate low risk of capital loss.  
主要投資於穩定收入產品，以獲得比短期固定收益率高的回報，可承受較低資本損失。
- b. To achieve some capital growth, and buy products that strike a balance between income generation and capital gain, able to tolerate moderate risk of capital loss.  
主要投資於有穩定收入及有資本增值潛力的產品，以獲得一些資本增長，可承受中等資本損失。
- c. To achieve capital growth, and buy products primarily to seek substantial capital gain rather than income generation, able to tolerate high risk of capital loss.  
主要投資於有高資本增值潛力，而非穩定收入的產品，以獲得資本增長，可承受較高資本損失。
- d. To achieve very significant capital growth, and buy products primarily for aggressive capital gains, able to tolerate very high risk of capital loss which may exceed initial invested value.  
主要投資於有極高資本增值潛力的產品，以獲得大幅資本增長，可承受極高度資本損失，甚至能承受虧損大於起初的投資本金。

## II. Customer Risk Profiling Questionnaire (“CRPQ”) (Continued) 客戶風險取向問卷（續）

<p><b>4. What is the most likely action you will take if the value of one of your investments goes down by 20%?</b> 倘若您持有的單項投資價值下跌了 20%，您最有可能會採取哪一項行動？</p> <p><input type="checkbox"/> a. Sell all of the investment to stop loss 出售全部該項投資，以作止蝕</p> <p><input type="checkbox"/> b. Sell some of the investment 減持部分該項投資</p> <p><input type="checkbox"/> c. Do nothing 不採取任何行動</p> <p><input type="checkbox"/> d. Buy more at a lower price 趁價格下跌增持該項投資</p>
<p><b>5. Do you expect to have any liquidity needs from your account with relevant HSBC Broking Companies over the next 2 years?</b> 在未來兩年，您是否需要從您相關滙豐金融公司的戶口提取資金以作周轉用途？</p> <p><input type="checkbox"/> a. I expect to withdraw funds from this account to support my liquidity needs frequently. 我預計需要從這個戶口提取資金以作頻密的周轉。</p> <p><input type="checkbox"/> b. I may withdraw a portion of funds from this account to support my liquidity needs from time to time. 我偶爾可能需要從這個戶口提取部分資金以作周轉。</p> <p><input type="checkbox"/> c. I may withdraw a portion of funds from this account to support my liquidity needs but only under unexpected circumstances. 我在特殊情況下，才可能從這個戶口提取部分資金以作周轉。</p> <p><input type="checkbox"/> d. I do not intend to use any of the funds in this account to support my liquidity needs. 我不打算使用這個戶口內的資金以作周轉。</p>
<p><b>6. What percentage of your liquid net worth are you able to set aside for investment? Note: Liquid net worth excludes real estate, automobile and insurance, etc.</b> 您能夠從所有流動資產淨值中，撥出多少百分比用作投資？注意：流動資產並不包括物業、車輛及保險等。</p> <p><input type="checkbox"/> a. Less than 10% 少於 10%</p> <p><input type="checkbox"/> b. 10% to less than 30% 10% 至少於 30%</p> <p><input type="checkbox"/> c. 30% to less than 50% 30% 至少於 50%</p> <p><input type="checkbox"/> d. 50% or more 50% 或以上</p>
<p><b>7. Generally, investors with a longer investment time horizon have a higher capacity to take risk. Under general market conditions, how long do you intend to invest in the market?</b> 一般而言，投資者的投資期越長，其風險承受能力亦較強。在一般市況下，您打算投資於金融市場多久？</p> <p><input type="checkbox"/> a. Less than 6 months 少於 6 個月</p> <p><input type="checkbox"/> b. 6 months to less than 1 year 6 個月至少於 1 年</p> <p><input type="checkbox"/> c. 1 to less than 3 years 1 年至少於 3 年</p> <p><input type="checkbox"/> d. 3 years or more 3 年或以上</p>

## II. Customer Risk Profiling Questionnaire (“CRPQ”) (Continued) 客戶風險取向問卷（續）

<p><b>Customer Risk Profiling Result</b> 客戶風險取向結果</p>	<p><b>Conclusion 總結</b> (For Relationship Manager to complete) (由客戶經理填寫)</p> <p>Based on the answers you have provided, your risk tolerance profile and corresponding investment objective is likely to be: 根據您所提供的答案，您的風險承受取向和對應的投資目標可能是：</p> <p>Profile ____ with corresponding investment objective to have _____ (Please refer to the below table with definitions of different risk tolerance profile) 風險承受取向為 ____，對應的投資目標是 _____ (請參閱下表有關風險承受取向的定義)</p> <hr/> <p>(Only applicable to customer whose above risk tolerance profile and corresponding investment objective are at a higher risk profile than the selected investment goal and level of risk in Question 3) (僅適用於客戶以上所得的風險承受取向及對應投資目標相比第三題選取的投資目標及風險承受水平有著較高的風險取向)</p> <p><input type="checkbox"/> Not applicable. 不適用。</p> <p><input type="checkbox"/> I am aware that my risk tolerance profile and corresponding investment objective are at a higher risk profile than the investment goal and level of risk answered in Question 3. 我明白我的風險承受取向及對應投資目標相比於第三題選取的投資目標及風險承受水平有著較高的風險取向。</p> <hr/> <p>For the conclusion: 有關總結：</p> <p><input type="checkbox"/> I <b>agree</b> with the above risk tolerance profile and corresponding investment objective. 我<b>同意</b>以上所得的風險承受取向及對應投資目標。</p> <p><input type="checkbox"/> I <b>disagree</b> with the above risk tolerance profile and corresponding investment objective. I believe my risk tolerance profile and corresponding investment objective should be: 我<b>不同意</b>以上所得的風險承受取向及對應投資目標。我相信我的風險承受取向及對應投資目標應該為： (Please tick the appropriate one. This can only be <b>lower</b> than the risk tolerance profile in above conclusion, and will become the risk tolerance profile captured in the record of the relevant HSBC Broking Companies.) (請勾選適當的投資目標。您只能選取較以上評估所得的投資風險取向<b>較低</b>的類型，相關滙豐金融公司將記錄此為您的風險承受取向。)</p> <p><input type="checkbox"/> No Risk Tolerance. 不具有投資風險承受能力。</p> <p><input type="checkbox"/> Low Risk Tolerance with corresponding investment objective to have regular income. 風險承受能力低，對應投資目標為定期收益。</p> <p><input type="checkbox"/> Medium Risk Tolerance with corresponding investment objective to have combination of regular income and capital gain. 風險承受能力中等，對應投資目標為定期收益與資本增值的組合。</p> <p><input type="checkbox"/> High Risk Tolerance with corresponding investment objective to have capital gain. 風險承受能力高，對應投資目標為資本增值。</p> <hr/> <p>(Only applicable to existing customer of the relevant HSBC Broking Companies) <b>If you have got a higher risk tolerance profile than previously</b>, please provide below the reason(s) for which you believe to be: (僅適用於相關滙豐金融公司的現有客戶) <b>若您得到的風險承受取向結果比以往紀錄更高</b>，原因是：</p> <p><input type="checkbox"/> Not applicable. 不適用。</p> <p><input type="checkbox"/> My financial situation has recently improved. 我的財務狀況近期有所改善。</p> <p><input type="checkbox"/> I can now invest over a longer time horizon. 我現在的投資期可以更長。</p> <p><input type="checkbox"/> I have a view on the investment market and am willing to increase my investment exposure. 我對投資市場有個人的看法，願意增加我的投資。</p> <p><input type="checkbox"/> I would like to take higher risk for higher potential return opportunities. 我願意承受更高風險，以獲得更高潛在回報的機會。</p> <p><input type="checkbox"/> Others (please specify): 其他（請註明）： _____</p>
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## II. Customer Risk Profiling Questionnaire (“CRPQ”) (Continued) 客戶風險取向問卷（續）

<b>Definitions of Risk Tolerance Profile</b> <b>投資風險承受取向定義</b>	<b>Corresponding Investment Objective</b> <b>對應的投資目標</b>
<p><b>0 - No Risk Tolerance (Knock-out) 不具有投資風險承受能力</b>            I do not want to take any investment risk as I cannot accept any investment loss.            本人不希望承受任何投資風險，因為本人無法承受任何投資損失。</p> <p><b>1 - Low Risk Tolerance 投資風險承受能力低</b>            I want investments to achieve a regular income only. I want to achieve a low level of return potential on investments and am generally comfortable with a low level of risk. I am willing to invest in liquid and income generating products, with a payout profile that is generally known upfront.            本人只希望透過投資獲得穩定收入。本人希望獲得較低水平的潛在投資回報，並願意承受低風險。本人願意投資在流動及有固定收益的產品，而此類產品的收益分派狀況大致可預知。</p> <p><b>2 - Medium Risk Tolerance 投資風險承受能力中等</b>            I want investments to achieve a combination of regular income and capital gain. I want to achieve a medium level of return potential on investments and am generally comfortable with a medium level of risk.            I understand that capital values can have some fluctuations and some of them may have some significant fluctuations and may fall below the original investment.            I am aware that most of these investments can be sold in the market within a reasonable time, but some of these investments may be subject to further price impact if sold in the market on short notice.            I am willing to invest in more volatile products that offer opportunities for capital gain. The income payout profile is not always known upfront, and there can be some uncertainties on the year-on-year payout.            本人希望透過投資獲得穩定收入及資本增值。本人希望獲得中等水平的潛在投資回報，並願意承受中等風險。            本人明白，資本價值可能有所波動，而有時可能會大幅波動，並可能下跌至低於原本的投資額。            本人知道，這些投資大部分可在合理時間內於市場上出售，但如若急於在市場上出售，當中部分投資的價值或會受到進一步影響。            本人願意投資在較大波幅而有資本增值潛力機會的產品。此類產品的收益分派狀況或不可預知及產品的按年收益分派可能存有不確定因素。</p> <p><b>3 - High Risk Tolerance 投資風險承受能力高</b>            I want investments to achieve capital gain. I want to achieve a high level of return potential on my investments and am generally comfortable with a high level of risk.            I understand that capital values can fluctuate significantly and may fall substantially below the original investment (including the possibility of a total loss of investment).            I am willing to invest in products with no income payouts and high risk of capital loss. These products may have a complex payout profile and can suffer from limited liquidity during difficult market conditions.            本人希望透過投資獲得資本增值。本人希望獲得高水平的潛在投資回報，並願意承受高風險。            本人明白，資本價值可能會大幅波動，而有可能跌至頗低於原本的投資額（包括可能損失全部投資）。            本人願意投資在並無收益分派及資本虧損風險較高的產品。此類產品可能具有複雜的收益分派狀況，並且其流動性在嚴峻市況下可能受到限制。</p>	<p>Not Applicable            不適用</p> <p>Regular income            穩定收入</p> <p>Combination of regular income and capital growth            穩定收入及有資本增值潛力的組合</p> <p>Capital growth            有資本增值潛力</p>

## II. Customer Risk Profiling Questionnaire (“CRPQ”) (Continued) 客戶風險取向問卷（續）

Definitions of Risk Tolerance Profile 投資風險承受取向定義	Corresponding Investment Objective 對應的投資目標
<p><b>4 - Very High Risk Tolerance 投資風險承受能力極高</b></p> <p>I want my investments to grow aggressively and earn the highest possible return. I want to maximize my return potential and am generally comfortable with maximized risk. I can accept huge negative fluctuations, ie capital values can fluctuate significantly below original investment (including the possibility of a loss which exceeds my/our principal invested and triggers a margin call when the market goes against my investment). I am willing to invest in products with high risk of capital loss. These products may have a complex payout profile which incorporates leverage and derivatives. These products may only be sold beyond a reasonable timeframe during difficult market conditions.</p> <p>本人希望我的投資有極高財富增長以及獲得最高的投資回報。本人希望獲得最高水平的潛在投資回報，並願意承受最高風險。</p> <p>本人可接受投資的大幅波動，例如：資本價值可能會大幅波動，而有可能跌至遠低於您原本的投資額（虧損甚至可能大於您原本的投資額，並觸發保證金追收通知）。</p> <p>本人願意投資資本虧損風險較高的產品，當中包含槓桿原理及衍生工具，此類產品可能具有複雜的收益分派狀況。此類產品在嚴峻市況下未必能於合理時間範圍內出售。</p>	<p>Aggressive wealth growth 有極高財富增值潛力</p>

## III. CRPQ - Investment Product Knowledge and Experience Profile 客戶風險取向問卷 — 投資產品知識及經驗概況

Products 產品	Product Knowledge (Please go to Investment Experience if you have selected “Yes” under Product Knowledge) 產品知識（如在產品知識下選擇「是」，請作答投資經驗）		Investment Experience (Please tick “Yes” if you have selected “Past trading experience” under Product Knowledge) 投資經驗（如已在產品知識下選擇「過往交易經驗」，請選「是」）	
	Have product knowledge? 是否擁有產品知識？	If yes, how was it obtained? 如有，通過何種渠道獲得？	Have investment experience? 是否擁有投資經驗？	If yes, please provide further information below 如有，請提供以下資料
<p>Exchange Traded Securities, eg Equities, Physical ETF 交易所買賣證券 例如：股票、實物資產交易所買賣基金</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<input type="checkbox"/> Related qualification 相關資格 <input type="checkbox"/> Related work experience 相關工作經驗 <input type="checkbox"/> Attended related trainings or courses 曾參加有關培訓或課程 <input type="checkbox"/> Past trading experience 過往交易經驗 <input type="checkbox"/> Others, please specify in below: 其他，請於下方註明： _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<p>Past trading experience with _____ (Broker/Bank) for ___year(s) 過往與 _____ (經紀公司/銀行)，長達 _____年的交易經驗</p>
<p>Plain Vanilla Bonds 普通債券</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<input type="checkbox"/> Related qualification 相關資格 <input type="checkbox"/> Related work experience 相關工作經驗 <input type="checkbox"/> Attended related trainings or courses 曾參加有關培訓或課程 <input type="checkbox"/> Past trading experience 過往交易經驗 <input type="checkbox"/> Others, please specify in below: 其他，請於下方註明： _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<p>Past trading experience with _____ (Broker/Bank) for ___year(s) 過往與 _____ (經紀公司/銀行)，長達 _____年的交易經驗</p>

### III. CRPQ - Investment Product Knowledge and Experience Profile (Continued)

#### 客戶風險取向問卷 – 投資產品知識及經驗概況 (續)

<p>Complex Bonds*<sup>2</sup> 複雜債券*<sup>2</sup> (Please skip this if your answer to Knowledge in Plain Vanilla Bond is “NO”) (如在普通債券知識中選擇「否」，請略過)</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<input type="checkbox"/> Related qualification 相關資格 <input type="checkbox"/> Related work experience 相關工作經驗 <input type="checkbox"/> Attended related trainings or courses 曾參加有關培訓或課程 <input type="checkbox"/> Past trading experience 過往交易經驗 <input type="checkbox"/> Others, please specify in below: 其他，請於下方註明： _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<p>Past trading experience with _____ (Broker/Bank) for ___year(s) 過往與 _____ (經紀公司/銀行)，長達 _____ 年的交易經驗</p>
<p>Leveraged Foreign Exchange 槓桿式外匯</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<input type="checkbox"/> Related qualification 相關資格 <input type="checkbox"/> Related work experience 相關工作經驗 <input type="checkbox"/> Attended related trainings or courses 曾參加有關培訓或課程 <input type="checkbox"/> Past trading experience 過往交易經驗 <input type="checkbox"/> Others, please specify in below: 其他，請於下方註明： _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<p>Past trading experience with _____ (Broker/Bank) for ___year(s) 過往與 _____ (經紀公司/銀行)，長達 _____ 年的交易經驗</p>
<p>Precious Metals 貴金屬</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<input type="checkbox"/> Related qualification 相關資格 <input type="checkbox"/> Related work experience 相關工作經驗 <input type="checkbox"/> Attended related trainings or courses 曾參加有關培訓或課程 <input type="checkbox"/> Past trading experience 過往交易經驗 <input type="checkbox"/> Others, please specify in below: 其他，請於下方註明： _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<p>Past trading experience with _____ (Broker/Bank) for ___year(s) 過往與 _____ (經紀公司/銀行)，長達 _____ 年的交易經驗</p>

\*<sup>2</sup> Bonds with one or more special features (including, but not limited to, perpetual or subordinated bonds, or those with variable (eg step-up or step-down) or deferred interest payment terms, extendable maturity dates, or those which are convertible or exchangeable or have contingent write down or loss absorption features, or those with multiple credit support providers and structures).

具有一項或多項以下特點組成的債券 (包括 (但不限於) 屬永久證券或次級證券、具有浮息 (如可上調或下調利率) 或延遲派付利息條款、可延遲到期日、或屬可轉換或可交換性質或具有或然撤減或損失吸收特徵，或具備非單一信貸支持提供者及結構的債務證券)。



#### IV. CRPQ - Derivatives Knowledge and Experience Profile

##### 客戶風險取向問卷 – 衍生工具產品投資知識及經驗概況

<p><b>Do you have knowledge of derivatives?</b> (Derivatives includes futures, options, warrants, callable bull/bear contracts, convertible bonds, synthetic exchange traded funds and structured products) 您是否擁有衍生工具產品知識? (衍生工具包括交易所買賣的期貨/期權、認股權證、牛熊證、可轉換債券、合成交易所買賣基金和結構性產品)</p>	<p><input type="checkbox"/> No 沒有</p> <p><input type="checkbox"/> Yes, because (please choose one or more below) 有，因為（請選擇下列一項或多項）：</p> <p><input type="checkbox"/> Executed 5 or more transactions in derivatives within the past 3 years 於過去 3 年內曾執行 5 宗或以上的衍生工具產品交易</p> <p><input type="checkbox"/> Gained work experience related to derivatives 工作經驗與衍生工具產品有關</p> <p><input type="checkbox"/> Attended training or course on derivatives 曾參加有關衍生工具產品的培訓或課程</p> <p><b>(Please provide supporting evidence of knowledge of derivatives such as trading statements, training certificates or name cards etc.)</b> (閣下必須提供支持證明文件，例如：交易結單、培訓證書及名片等，以證明所申報有關衍生工具投資的知識。)</p>
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The following section is only applicable if you have answered “Yes” for having knowledge of derivatives.

以下部分僅適用於您已回答擁有衍生工具產品知識。

Product 產品	Product Knowledge (Please go to Investment Experience if you have selected “Yes” under Product Knowledge) 產品知識（如在產品知識下選擇「是」，請作答投資經驗）		Investment Experience (Please tick “Yes” if you have selected “Past trading experience” under Product Knowledge) 投資經驗（如已在產品知識下選擇「過往交易經驗」，請選「是」）	
	Have product knowledge? 是否擁有產品知識?	If yes, how was it obtained? 如有，通過何種渠道獲得?	Have investment experience? 是否擁有投資經驗?	If yes, please provide further information below 如有，請提供以下資料
<p>Exchange Traded Futures and Options (excluding equity options) 交易所買賣的期貨及期權（不包括股票期權）</p>	<p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes 是</p>	<p><input type="checkbox"/> Related qualification 相關資格</p> <p><input type="checkbox"/> Related work experience 相關工作經驗</p> <p><input type="checkbox"/> Attended related trainings or courses 曾參加有關培訓或課程</p> <p><input type="checkbox"/> Past trading experience 過往交易經驗</p> <p><input type="checkbox"/> Others, please specify in below: 其他，請於下方註明： _____</p>	<p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes 是</p>	<p>Past trading experience with _____ (Broker/Bank) for ___year(s) 過往與 _____ (經紀公司/銀行)，長達 _____ 年的交易經驗</p>
<p>Exchange Traded Equity Options 交易所買賣股票期權</p>	<p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes 是</p>	<p><input type="checkbox"/> Related qualification 相關資格</p> <p><input type="checkbox"/> Related work experience 相關工作經驗</p> <p><input type="checkbox"/> Attended related trainings or courses 曾參加有關培訓或課程</p> <p><input type="checkbox"/> Past trading experience 過往交易經驗</p> <p><input type="checkbox"/> Others, please specify in below: 其他，請於下方註明： _____</p>	<p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes 是</p>	<p>Past trading experience with _____ (Broker/Bank) for ___year(s) 過往與 _____ (經紀公司/銀行)，長達 _____ 年的交易經驗</p>

#### IV. CRPQ - Derivatives Knowledge and Experience Profile (Continued)

客戶風險取向問卷 – 衍生工具產品投資知識及經驗概況 (續)

<p>Structured Products 結構性產品</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<input type="checkbox"/> Related qualification 相關資格 <input type="checkbox"/> Related work experience 相關工作經驗 <input type="checkbox"/> Attended related trainings or courses 曾參加有關培訓或課程 <input type="checkbox"/> Past trading experience 過往交易經驗 <input type="checkbox"/> Others, please specify in below: 其他，請於下方註明： _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<p>Past trading experience with _____ (Broker/Bank) for ___year(s) 過往與 _____ (經紀公司/銀行)，長達 _____年的交易經驗</p>
<p>Other Derivatives, eg Warrants, CBBC, Convertible Bonds and Synthetic ETF 其他衍生工具 例如：認股權 證、牛熊證、 可轉換債券和 合成交易所買 賣基金</p>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<input type="checkbox"/> Related qualification 相關資格 <input type="checkbox"/> Related work experience 相關工作經驗 <input type="checkbox"/> Attended related trainings or courses 曾參加有關培訓或課程 <input type="checkbox"/> Past trading experience 過往交易經驗 <input type="checkbox"/> Others, please specify in below: 其他，請於下方註明： _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<p>Past trading experience with _____ (Broker/Bank) for ___year(s) 過往與 _____ (經紀公司/銀行)，長達 _____年的交易經驗</p>

V. CRPQ - Key Financial Situation 客戶風險取向問卷 – 主要財務狀況

<p>Annual Income from Employment 年工作收入</p>	<input type="checkbox"/> HKD 港幣 0 <input type="checkbox"/> HKD 港幣 500,001 – 1,000,000 <input type="checkbox"/> HKD 港幣 2,000,001 – 3,000,000 <input type="checkbox"/> HKD 港幣 1 – 500,000 <input type="checkbox"/> HKD 港幣 1,000,001 – 2,000,000 <input type="checkbox"/> HKD 港幣 >3,000,000
<p>Estimated Liquid Net Worth*<sup>3</sup> 預計流動資產淨值*<sup>3</sup></p>	<p>HKD 港幣 _____</p>

\*3 Exclusive of real estate, automobile and insurance  
不包括物業、汽車及保險

## VI. Customer Identification and Personal Details 客戶身份及個人資料

<p>1. Account to be applied with 戶口種類</p>	<p><input type="checkbox"/> HSBC Broking Services (Asia) Limited 滙豐金融服務(亞洲)有限公司 (Precious Metal) (貴金屬)</p> <p><input type="checkbox"/> HSBC Broking Securities (Asia) Limited 滙豐金融證券(亞洲)有限公司 (Exchange Traded Securities, Bonds and Exchanged Traded Equity Options) (交易所買賣證券, 債券及交易所買賣股票期權)</p> <p><input type="checkbox"/> HSBC Broking Futures (Asia) Limited 滙豐金融期貨(亞洲)有限公司 (Exchanged Traded Futures and Options (excluding equity options)) (交易所買賣的期貨及期權(不包括股票期權))</p> <p><input type="checkbox"/> HSBC Broking Forex (Asia) Limited 滙豐金融外匯(亞洲)有限公司 (Leveraged Foreign Exchange) (槓桿式外匯)</p>																									
<p>2. Full Name in English 英文全名</p>	<p><input type="checkbox"/> Mr 先生      <input type="checkbox"/> Mrs 太太</p>		<p><input type="checkbox"/> Miss 小姐      <input type="checkbox"/> Ms 女士</p>																							
<p>3. Full Name in Chinese (if applicable) 中文全名 (如適用)</p>	<p>Surname 姓</p>		<p>Given Name 名</p>																							
<p>4. Previous Name(s) and Alias in English (if applicable) 曾用英文姓名及英文別名 (如適用)</p>	<p>Surname 姓</p>		<p>Given Name 名</p>																							
<p>5. Previous Name(s) and Alias in Chinese (if applicable) 曾用中文姓名及中文別名 (如適用)</p>	<p>Surname 姓</p>		<p>Given Name 名</p>																							
<p>6. Details of Identification Document*<sup>4</sup> 身份證明文件資料*<sup>4</sup></p>	<table border="1"> <tr> <td data-bbox="448 1102 638 1406" rowspan="2"> <p>Type 種類</p> </td> <td data-bbox="641 1102 855 1406"> <p><input type="checkbox"/> Hong Kong Identity Card 香港身份證</p> </td> <td data-bbox="858 1102 1169 1406"> <p><input type="checkbox"/> Permanent Resident 永久性居民</p> </td> <td data-bbox="1173 1102 1501 1406"> <p><input type="checkbox"/> Non-Permanent Resident 非永久性居民 (Please provide details of passport or other identification document below) (請於以下提供護照/其他證明文件資料)</p> </td> </tr> <tr> <td data-bbox="641 1411 855 1547"> <p><input type="checkbox"/> National Identification Document 國民身份證明文件</p> </td> <td data-bbox="858 1411 1169 1480"> <p>Number 號碼</p> </td> <td data-bbox="1173 1411 1501 1480"> <p>a. Place of issue 簽發地</p> </td> <td data-bbox="1173 1485 1501 1554"> <p>b. Number 號碼</p> </td> </tr> <tr> <td data-bbox="641 1552 855 1666"> <p><input type="checkbox"/> Passport 護照</p> </td> <td data-bbox="858 1552 1169 1621"> <p>a. Place of issue 簽發地</p> </td> <td data-bbox="1173 1552 1501 1621"> <p>b. Number 號碼</p> </td> <td data-bbox="1173 1626 1501 1673"> <p>(Please state type of identification document and place of issue) (請註明身份證明文件種類及簽發地)</p> </td> </tr> <tr> <td data-bbox="641 1671 855 1962" rowspan="3"> <p><input type="checkbox"/> Others 其他</p> </td> <td data-bbox="858 1671 1169 1852"> <p>a. Type of identification document 身份證明文件種類</p> </td> <td data-bbox="1173 1671 1501 1852"> </td> <td data-bbox="1173 1856 1501 1926"> <p>b. Place of issue 簽發地</p> </td> </tr> <tr> <td data-bbox="858 1856 1169 1962"> <p>b. Place of issue 簽發地</p> </td> <td data-bbox="1173 1856 1501 1962"> </td> <td data-bbox="1173 1966 1501 2036"> <p>c. Number 號碼</p> </td> </tr> <tr> <td data-bbox="858 1966 1169 2036"> <p>c. Number 號碼</p> </td> <td data-bbox="1173 1966 1501 2036"> </td> <td data-bbox="1173 2040 1501 2110"> </td> </tr> </table>				<p>Type 種類</p>	<p><input type="checkbox"/> Hong Kong Identity Card 香港身份證</p>	<p><input type="checkbox"/> Permanent Resident 永久性居民</p>	<p><input type="checkbox"/> Non-Permanent Resident 非永久性居民 (Please provide details of passport or other identification document below) (請於以下提供護照/其他證明文件資料)</p>	<p><input type="checkbox"/> National Identification Document 國民身份證明文件</p>	<p>Number 號碼</p>	<p>a. Place of issue 簽發地</p>	<p>b. Number 號碼</p>	<p><input type="checkbox"/> Passport 護照</p>	<p>a. Place of issue 簽發地</p>	<p>b. Number 號碼</p>	<p>(Please state type of identification document and place of issue) (請註明身份證明文件種類及簽發地)</p>	<p><input type="checkbox"/> Others 其他</p>	<p>a. Type of identification document 身份證明文件種類</p>		<p>b. Place of issue 簽發地</p>	<p>b. Place of issue 簽發地</p>		<p>c. Number 號碼</p>	<p>c. Number 號碼</p>		
<p>Type 種類</p>	<p><input type="checkbox"/> Hong Kong Identity Card 香港身份證</p>	<p><input type="checkbox"/> Permanent Resident 永久性居民</p>	<p><input type="checkbox"/> Non-Permanent Resident 非永久性居民 (Please provide details of passport or other identification document below) (請於以下提供護照/其他證明文件資料)</p>																							
	<p><input type="checkbox"/> National Identification Document 國民身份證明文件</p>	<p>Number 號碼</p>	<p>a. Place of issue 簽發地</p>	<p>b. Number 號碼</p>																						
<p><input type="checkbox"/> Passport 護照</p>	<p>a. Place of issue 簽發地</p>	<p>b. Number 號碼</p>	<p>(Please state type of identification document and place of issue) (請註明身份證明文件種類及簽發地)</p>																							
<p><input type="checkbox"/> Others 其他</p>	<p>a. Type of identification document 身份證明文件種類</p>		<p>b. Place of issue 簽發地</p>																							
	<p>b. Place of issue 簽發地</p>		<p>c. Number 號碼</p>																							
	<p>c. Number 號碼</p>																									

\*<sup>4</sup> For customers opening an account with HSBC Broking Securities (Asia) Limited, please complete this item in accordance with the following order of priority which is 1) Hong Kong Identity Card; 2) National Identification Document and 3) Passport.  
若客戶於滙豐金融證券(亞洲)有限公司開設戶口, 請根據 1) 香港身份證; 2) 國民身份證明文件以及 3) 護照之優先次序填寫該項目。

## VI. Customer Identification and Personal Details (Continued) 客戶身份及個人資料 (續)

<p>7. Reasons for setting up account in Hong Kong (Not applicable to Permanent Resident HKID Holder) 在香港開設戶口的理由 (不適用於香港永久性居民身分證持有人)</p>	<input type="checkbox"/> I am interested in investing in stock and other investments in Hong Kong 本人有興趣於投資香港股票或其他投資 <input type="checkbox"/> I am working in Hong Kong/managing businesses based in Hong Kong 本人在港工作/本人需要處理在港業務 <input type="checkbox"/> I wish to be supported by Relationship Managers based in Hong Kong 本人希望有專業經紀於香港接聽並處理在港的投資產品買賣 <input type="checkbox"/> I am participating in the Capital Investment Entrant Scheme (CIES) 本人已參與資本投資者入境計劃 <input type="checkbox"/> Others (please specify): 其他 (請說明): _____			
<p>8. Date of Birth (DD/MM/YYYY) 出生日期 (日/月/年)</p>		<p>9. Place of Birth 出生地</p>		<p>10. Nationality (Country/Region) 國籍 (國家/地區)</p>
<p>11. Multiple Nationalities (Country/Region) 多重國籍 (國家/地區)</p>	<input type="checkbox"/> Yes 是	<p>Nationality 2 (country/region) 國籍 2 (國家/地區)</p>		<input type="checkbox"/> No 否
<p>12. Jurisdiction of Tax Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") 稅務管轄區及稅務編號或具有等同功能的識辨編號 (以下簡稱「稅務編號」)</p>	<p>Please complete the following table indicating: 請提供以下資料, 列明:</p> <p>a. each country/region/jurisdiction where you are a <b>resident for tax purposes</b>; and 您作為<b>稅務居民</b>的國家/地區/稅務管轄區; 及</p> <p>b. your TIN for each country/region/jurisdiction indicated. 該國家/地區/稅務管轄區給您的稅務編號。</p> <p>If you are a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number (HKID). 如您是香港稅務居民, 稅務編號是其香港身份證號碼。</p> <p>If a TIN is unavailable, provide the appropriate reason A, B or C: 如沒有提供稅務編號, 必須填寫合適的理由:</p> <p># <b>Reason A</b> – The country/region/jurisdiction where you are a resident for tax purposes does not issue TINs to its residents. # <b>理由 A</b> – 您的國家/地區/稅務管轄區並沒有向其居民發出稅務編號。</p> <p><b>Reason B</b> – You are unable to obtain a TIN. Explain why you are unable to obtain a TIN if you have selected this reason. <b>理由 B</b> – 您不能取得稅務編號。如選取這一理由, 解釋您不能取得稅務編號的原因。</p> <p><b>Reason C</b> – TIN is not required. Select this reason only if the authorities of the jurisdiction of tax residence do not require the TIN to be disclosed. <b>理由 C</b> – 您毋須提供稅務編號。稅務管轄區的主管機關不需要您披露稅務編號。</p>			
	<p>Jurisdiction of Tax Residence 稅務管轄區</p>	<p>TIN 稅務編號</p>	<p># Enter Reason A, B, or C if no TIN is available # 如沒有提供稅務編號, 填寫理由 A、B 或 C</p>	<p>Please explain why you are unable to obtain a TIN if you have selected Reason B 如選取理由 B, 請解釋不能取得稅務編號的原因</p>
	(1)			
	(2)			
	(3)			
	(4)			
	(5)			
<input type="checkbox"/> (If you are an existing customer of any of the relevant HSBC Broking Companies) I confirm that the information which I previously provided in respect of Part VI of this form is true, correct and complete. (如果您是哪個相關滙豐金融公司的現有客戶) 本人確認以前所提供本表格第 VI 部的資料均屬真實、正確和完備。				

## VI. Customer Identification and Personal Details (Continued) 客戶身份及個人資料 (續)

<p>12. Jurisdiction of Tax Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") 稅務管轄區及稅務編號或具有等同功能的識辨編號 (以下簡稱「稅務編號」)</p>	<p>I acknowledge and agree that (i) certain information contained in this form is collected and may be kept by the relevant HSBC Broking Companies for the purpose of automatic exchange of financial account information, and (ii) such information and information regarding the account holder and any reportable account(s) may be reported by the relevant HSBC Broking Companies to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region ("IRD") and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112)("IRO"). 本人知悉及同意，相關滙豐金融公司可根據《稅務條例》(第 112 章)有關交換財務賬戶資料的法律條文，(i) 收集此表格所載的某些資料並可備存作自動交換財務賬戶資料用途及 (ii) 把該等資料和關於戶口持有人及任何須申報賬戶的資料向香港特別行政區政府稅務局(「稅務局」)申報，從而把資料轉交到戶口持有人的稅務管轄區的稅務當局。</p> <p>I certify that I am the account holder of all the account(s) currently held with the relevant HSBC Broking Companies by the individual identified in Part VI of this form. 本人證明，就有關本表格第 VI 部所指的個人現於相關滙豐金融公司持有的所有戶口，本人是戶口持有人。</p> <p>I undertake to advise the relevant HSBC Broking Companies of any change in circumstances which affects the tax residency status of the individual identified in Part VI of this form or causes the information contained in Part VI and Part VII of this form to become incorrect, and to provide the relevant HSBC Broking Companies with a suitably updated self-certification form within 30 days of such change in circumstances. 本人承諾，如情況有所改變，以致影響本表格第 VI 部所述的個人的稅務居民身分，或引致本表格第 VI 部和第 VII 部所載的資料不正確，本人會通知相關滙豐金融公司，並會在情況發生改變後 30 日內，向相關滙豐金融公司提交一份已適當更新的自我證明表格。</p> <p><b>Note:</b> Please refer to section 50A of the ("IRO") for the meaning of "reportable account" and "resident for tax purposes" used in this declaration. Please also visit the IRD website that sets out information relating to the implementation of automatic exchange of financial account information in Hong Kong: <a href="http://www.ird.gov.hk/eng/tax/dta_aeoi.htm">http://www.ird.gov.hk/eng/tax/dta_aeoi.htm</a> <b>備註：</b>有關在這一聲明中「須申報賬戶」和「稅務居民」的含義，請參閱《稅務條例》第 50A 條。另請參閱稅務局網站 <a href="http://www.ird.gov.hk/chi/tax/dta_aeoi.htm">http://www.ird.gov.hk/chi/tax/dta_aeoi.htm</a> 了解香港實施自動交換財務賬戶資料的詳情。</p> <p><b>Warning:</b> It is serious offence under the ("IRO") if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. Heavy penalty may apply upon conviction. <b>警告：</b>根據《稅務條例》，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪可致重罰。</p>	
<p>13. Education Level 教育程度</p>	<p><input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> University or above 大學或以上</p>	<p><input type="checkbox"/> Professional Qualification 專業資格 <input type="checkbox"/> Others (Please specify) 其他 (請註明) _____</p>
<p>14. Marital Status 婚姻狀況</p>	<p><input type="checkbox"/> Single 未婚      <input type="checkbox"/> Married 已婚      <input type="checkbox"/> Divorced 離婚      <input type="checkbox"/> Widowed 鰥寡</p>	
<p>15. Language Skills 語文能力</p>	<p><input type="checkbox"/> English 英文      <input type="checkbox"/> Chinese 中文      <input type="checkbox"/> Others (Please specify) 其他 (請註明) _____</p>	
<p>16. Preferred Language for Correspondence 通訊語言</p>	<p>(Contract notes, daily activity statements, monthly activity statements, and other correspondence (as applicable) issued by the relevant HSBC Broking Companies shall be sent to the account holder(s) in the language selected, please choose one below.) (相關滙豐金融公司發出的成交單據、日結單、月結單及其他通訊(如適用)將透過以下選取的語言遞交戶口持有人，請選擇一項。)</p> <p><input type="checkbox"/> English 英文      <input type="checkbox"/> Simplified Chinese 簡體中文</p>	

## VII. Customer Contact Information 客戶聯絡資料

1. Contact Telephone Number 聯絡電話號碼 (For overseas number, please provide Country/Region Code and Area Code (if any)) (如海外號碼, 請提供國家/區域編號及地區編號 (如有))		Country/Region Code 國家/區域編號	Area Code 地區編號	Number 號碼
	a. Mobile 1 <sup>5</sup> 手提電話 1 <sup>5</sup>			
	b. Mobile 2 (if any) 手提電話 2 (如有)			
	c. Residential (if any) 住宅 (如有)			
	d. Business (if any) 辦公室 (如有)			
2. E-mail Address <sup>6</sup> 電郵地址 <sup>6</sup>				
3. Residential Address <sup>7</sup> 住宅地址 <sup>7</sup>	Room/Flat 室		Floor 樓	Block 座
	Name of Building 大廈名稱			
	Name of Estate 屋邨名稱			
	Number and Name of Street/Road 門牌號碼及街道名稱			
	District 地區		(For Hong Kong address only) (只適用於香港地址) <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Kowloon 九龍 <input type="checkbox"/> New Territories 新界	
	Country/Region & Postal Code 國家/區域及郵區編碼		(For overseas address only) (只適用於海外地址)	
	Effective Date of Residential Address 住宅地址生效日期 (MM/YYYY) (月/年)		Month _____ 月 / Year _____ 年	
4. Previous Address <sup>7</sup> 前址 <sup>7</sup> (if you have resided in the above residential address for less than 1 year) (如居於現址少於一年)	Room/Flat 室		Floor 樓	Block 座
	Name of Building 大廈名稱			
	Name of Estate 屋邨名稱			
	Number and Name of Street/Road 門牌號碼及街道名稱			
	District 地區		(For Hong Kong address only) (只適用於香港地址) <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Kowloon 九龍 <input type="checkbox"/> New Territories 新界	
	Country/Region & Postal Code 國家/區域及郵區編碼		(For overseas address only) (只適用於海外地址)	

\*5 Mandatory field for customers applying for digital trading services.

若客戶申請網上交易服務, 此項必須提供。

\*6 Mandatory field for customers opening accounts with HSBC Broking Futures (Asia) Limited or requesting to receive eStatement/eAdvice Services and/or e-mail correspondence (as applicable) or applying for digital trading services.

若客戶於滙豐金融期貨(亞洲)有限公司開設戶口或要求接收電子結單/電子結單備註及/或電郵通訊(如適用)或申請網上交易服務, 此項必須提供。

\*7 PO Box not accepted.

不接受郵政信箱。

## VII. Customer Contact Information (Continued) 客戶聯絡資料 (續)

5. Permanent Address <sup>*7</sup> 永久地址 <sup>*7</sup>	<input type="checkbox"/> Same as Residential Address 與住宅地址相同		
	Room/Flat 室	Floor 樓	Block 座
	Name of Building 大廈名稱		
	Name of Estate 屋邨名稱		
	Number and Name of Street/Road 門牌號碼及街道名稱		
	District 地區	(For Hong Kong address only) (只適用於香港地址) <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Kowloon 九龍 <input type="checkbox"/> New Territories 新界	
	Country/Region & Postal Code 國家/區域及郵區編碼	(For overseas address only) (只適用於海外地址)	
6. Business Address <sup>*7</sup> 辦公室地址 <sup>*7</sup>	Room/Flat 室	Floor 樓	Block 座
	Name of Building 大廈名稱		
	Number and Name of Street/Road 門牌號碼及街道名稱		
	District 地區	(For Hong Kong address only) (只適用於香港地址) <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Kowloon 九龍 <input type="checkbox"/> New Territories 新界	
	Country/Region & Postal Code 國家/區域及郵區編碼	(For overseas address only) (只適用於海外地址)	
7. Correspondence Address 通訊地址	<p>(Contract notes, daily activity statements, monthly activity statements, and other correspondence (as applicable) issued by the relevant HSBC Broking Companies shall be sent to the Correspondence Address of the Principal/Sole Account Holder provided below, with immediate effect and until further notice. However, Customers who are registered for receiving eStatement/eAdvice Services will not receive any contract notes or activity statements by mail.) (相關滙豐金融公司發出的成交單據、日結單、月結單及其他通訊(如適用)將透過以下選取的通訊地址郵寄至第一/獨立戶口持有人,由即日起生效直至另行通知。客戶登記電子結單/電子結單備註將不經郵遞收取成交單據及結單。)</p>		
	<input type="checkbox"/> Same as Residential Address 與住宅地址相同	<input type="checkbox"/> Same as Permanent Address 與永久地址相同	<input type="checkbox"/> Same as Business Address 與辦公室地址相同
	Room/Flat 室	Floor 樓	Block 座
	Name of Building 大廈名稱		
	Name of Estate 屋邨名稱		
	Number and Name of Street/Road 門牌號碼及街道名稱		
	District 地區	(For Hong Kong address only) (只適用於香港地址) <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Kowloon 九龍 <input type="checkbox"/> New Territories 新界	
	Country/Region & Postal Code 國家/區域及郵區編碼	(For overseas address only) (只適用於海外地址)	
	Address in Chinese 中文地址		
	<p>If the correspondence address is in mainland China, Macau SAR or Taiwan, please provide such address in Chinese above. However, if you have already provided the correspondence address in Chinese in previous field(s), it is not required to fill in this field. 如通訊地址為中國內地、澳門特別行政區或台灣,請提供中文地址。然而,如已在上述其他部分已提供中文地址,則無須再填寫。</p>		

\*7 PO Box not accepted.  
不接受郵政信箱。

## VIII. Customer Employment Information 客戶職業資料

<b>1. Employment Status</b> 職業狀況 <b>(Please select one from Part A and Part B)</b> <b>(if applicable)</b> <b>(請從甲部及乙部各選擇一項) (如適用)</b>	Part A 甲部		Part B 乙部	
	<input type="checkbox"/> a. Self-Employed 自僱		<input type="checkbox"/> i. Business Owner 東主	<input type="checkbox"/> ii. Sole Trader 獨資經營者
	<input type="checkbox"/> b. Full-time Employed 全職		<input type="checkbox"/> i. Employee 僱員	<input type="checkbox"/> ii. Key Controller* <sup>8</sup> 主要管理人* <sup>8</sup>
	<input type="checkbox"/> c. Part-time Employed 兼職		<input type="checkbox"/> i. Employee 僱員	<input type="checkbox"/> ii. Key Controller* <sup>8</sup> 主要管理人* <sup>8</sup>
	<input type="checkbox"/> d. Not Currently Employed 非在職			
	<input type="checkbox"/> e. Housewife 家庭主婦			
	<input type="checkbox"/> f. Student 學生			
	<input type="checkbox"/> g. Retired 退休			
<i>For Self-Employed, Full-time Employed or Part-time Employed Customers, please also complete the below Question 2 to Question 5.</i> <i>如客戶職業狀況為自僱/全職/兼職，請繼續回答問題 2 至問題 5。</i> <i>For Customer as the Key Controller/Sole Trader or Business Owner, please also complete Question 6 &amp; Question 7.</i> <i>如客戶為主要管理人/獨資經營者/東主，請繼續回答問題 6 至問題 7。</i>				
<b>2. Occupation</b> <sup>9</sup> 職業 <sup>9</sup>	<b>3. Job Title (if applicable)</b> 工作職位 (如適用)		<b>4. Years of Employment</b> 受僱年期	
<b>5. Employer/Business</b> <sup>9</sup> 僱主/公司 <sup>9</sup> <b>(Please select one only from Part b that best describes your industry)</b> <b>(請從 b 部選擇一項最能描述你的業務)</b>	a. Name 名稱			
	b. Industry 業務 <input type="checkbox"/> Amusement & recreation Services 遊樂園及康樂活動 <input type="checkbox"/> Business Services 商用服務 <input type="checkbox"/> Charity (Non-governmental bodies) 慈善組織 <input type="checkbox"/> Communications 電訊 <input type="checkbox"/> Construction 建築 <input type="checkbox"/> Engineering 工程 <input type="checkbox"/> Finance* <sup>9</sup> /Insurance 金融* <sup>9</sup> /保險 <input type="checkbox"/> General secondary education 中學 <input type="checkbox"/> Hairdressing & Beauty 理髮及美容 <input type="checkbox"/> Health Care 醫療服務 <input type="checkbox"/> Higher education & University 大學及專上課程 <input type="checkbox"/> Hotel/Boarding Houses 酒店/旅館 <input type="checkbox"/> Import/Export 出入口 <input type="checkbox"/> Industrial 工業 <input type="checkbox"/> Legal 法律 <input type="checkbox"/> Leisure & Entertainment 娛樂 <input type="checkbox"/> Logistics 物流 <input type="checkbox"/> Manufacturing 製造 <input type="checkbox"/> Personal/Household Services 個人/家居服務 <input type="checkbox"/> Primary & Pre-primary Education 小學及學前教育 <input type="checkbox"/> Public Services 公共服務 <input type="checkbox"/> Real Estate 地產 <input type="checkbox"/> Restaurants 飲食 <input type="checkbox"/> Retail 零售 <input type="checkbox"/> Science and Technology 科學及資訊科技 <input type="checkbox"/> Sports Activities 體育活動 <input type="checkbox"/> Tech & Vocational secondary education 職業及專業教育 <input type="checkbox"/> Transport 運輸 <input type="checkbox"/> Travel & Tourism 旅遊 <input type="checkbox"/> Union & Organizations 工會/組織活動 <input type="checkbox"/> Utilities (Electricity) 公用事業 (電力) <input type="checkbox"/> Utilities (Gas) 公用事業 (煤氣) <input type="checkbox"/> Utilities (Water) 公用事業 (水務) <input type="checkbox"/> Wholesale 批發 <input type="checkbox"/> Others (please specify) 其他 (請註明) _____			
<b>6. Business Main Location</b> 業務主要地區	City 城市:	Country/Region 國家/地區:	<b>7. Business Earnings in the last financial year</b> 上個財政年度的業務收益	HKD 港幣: _____

\*8 A Key Controller is an individual or a body corporate who is elected or appointed to exercise direct control over an entity, by participating in the governance or senior executive activities of the entity. Key Controllers typically set the strategic direction of the entity and may exercise control jointly with other directors/senior executives. The title given to a Key Controller varies but, most commonly, a Key Controller will include the Chief Executive Officer (CEO), Chief Financial Officer (CFO), Managing Partner and Chairman of the Board.  
 主要管理人是指被選出或委任參與公司管治或高級行政工作而行使直接控制權的人士或法人團體。主要管理人一般會制定公司的策略方針，並且可與其他董事/高級管理層共同行使控制權。主要管理人的職銜不盡相同，最常見的職銜包括行政總裁、財務總監、執行合夥人及董事會主席。

\*9 Please provide your employer's letter of consent if you are currently a licensed representative or responsible officer of a licensed corporation; a relevant individual or executive officer of a registered institution; an employee of a licensed corporation or registered institution; or an employee of HSBC Global Services (Hong Kong) Limited. Licensed representative, responsible officer, licensed corporation, and registered institution have the meanings set out in the Securities and Futures Ordinance (Cap. 571, Laws of Hong Kong). Relevant individual and executive officer have the meanings set out in the Banking Ordinance (Cap. 155, Laws of Hong Kong).  
 如閣下現時為持牌人士/負責人員；或受聘於任何註冊機構並出任為相關/行政人員；或受聘於任何持牌/註冊機構之僱員；或受聘於 HSBC Global Services (Hong Kong) Limited 之僱員 (受規管人士)，請提供僱主同意書。有關持牌人士；負責人員；持牌機構和註冊機構之定義，請參閱證券及期貨條例 (香港法例第 571 章)。有關相關人士和行政人員之定義，請參閱銀行業條例 (香港法例第 155 章)。



## IX. Customer Financial Profile 客戶財政概況

1. Anticipated Account Activity 預計戶口活動	a. Estimated amount of deposit for trading/value of financial instruments transferred to the relevant HSBC Broking Companies in the coming 12 months 預計首十二個月用作交易的存款/存入金融工具價值： HKD 港幣 _____																	
	b. Do you expect to make/receive cross-border fund transfer in the coming 12 months? 閣下是否有需要在將來十二個月跨境匯入/出款項？																	
	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有 (Please provide details below) (請於以下提供資料)																	
	<table border="1"> <thead> <tr> <th>Details 資料</th> <th>Transfer in 匯入</th> <th>Transfer out 匯出</th> </tr> </thead> <tbody> <tr> <td>Total Amount 總額</td> <td>HKD 港幣</td> <td>HKD 港幣</td> </tr> <tr> <td>Total Number of Transfer 總數量</td> <td></td> <td></td> </tr> <tr> <td>Purpose 用途</td> <td></td> <td></td> </tr> <tr> <td>Country/Region (Please declare all) 國家/地區 (請申報所有)</td> <td></td> <td></td> </tr> </tbody> </table>			Details 資料	Transfer in 匯入	Transfer out 匯出	Total Amount 總額	HKD 港幣	HKD 港幣	Total Number of Transfer 總數量			Purpose 用途			Country/Region (Please declare all) 國家/地區 (請申報所有)		
	Details 資料	Transfer in 匯入	Transfer out 匯出															
Total Amount 總額	HKD 港幣	HKD 港幣																
Total Number of Transfer 總數量																		
Purpose 用途																		
Country/Region (Please declare all) 國家/地區 (請申報所有)																		
2. Method(s) of Fund Transfer 資金存入途徑	(Please choose one or more below) (請選擇下列一項或多項)																	
<input type="checkbox"/> Cheque deposit 支票存款 <input type="checkbox"/> Bank transfer 銀行匯款 <input type="checkbox"/> Wire transfer 電匯 <input type="checkbox"/> Others (Please specify) 其他 (請註明) _____																		
3. Initial Source of Wealth 初始財富來源 (Customer to provide supporting document for validation upon request of the relevant HSBC Broking Companies) (客戶須按照相關滙豐金融公司的要求而提供證明文件)	(Please choose one or more below) (請選擇下列一項或多項)																	
	Details 資料		Country/Region of Source of Wealth (Please declare all sources) 財富來源國家/地區 (請申報所有來源)															
			Primary/Main 主要      Others 其他															
	<input type="checkbox"/> Earnings from Business Interests 商業/公司收益																	
	<input type="checkbox"/> Earnings from Work 工作收入																	
	<input type="checkbox"/> From Spouse/Partner 由配偶/伴侶給予																	
	<input type="checkbox"/> Personal Savings 個人儲蓄																	
	<input type="checkbox"/> Investment Return (Earning/Income)/Investment Matured 投資收益 (盈利/收入)/到期投資																	
	<input type="checkbox"/> Inheritance 資產繼承																	
	<input type="checkbox"/> Sale of Assets (eg Property, Business Ownership) 資產轉售 (如物業、所持有的公司)																	
<input type="checkbox"/> Rental Income 租金收入																		
<input type="checkbox"/> Others (Please specify) 其他 (請註明) _____																		

## IX. Customer Financial Profile (Continued) 客戶財政概況 (續)

<p>4. Ongoing Source of Wealth 往後財富來源 (Customer to provide supporting document for validation upon request of the relevant HSBC Broking Companies) (客戶須按照相關滙豐金融公司的要求而提供證明文件)</p>	<input type="checkbox"/> Same as Initial Source of Wealth 與初始財富來源相同 (Please choose one or more below) (請選擇下列一項或多項)		
	Details 資料	Country/Region of Source of Wealth (Please declare all sources) 財富來源國家/地區 (請申報所有來源)	
		Primary/Main 主要	Others 其他
	<input type="checkbox"/> Earnings from Business Interests 商業/公司收益		
	<input type="checkbox"/> Earnings from Work 工作收入		
	<input type="checkbox"/> From Spouse/Partner 由配偶/伴侶給予		
	<input type="checkbox"/> Personal Savings 個人儲蓄		
	<input type="checkbox"/> Investment Return (Earning/Income)/Investment Matured 投資收益 (盈利/收入) / 到期投資		
	<input type="checkbox"/> Inheritance 資產繼承		
	<input type="checkbox"/> Sale of Assets (eg Property, Business Ownership) 資產轉售 (如物業、所持有的公司)		
<input type="checkbox"/> Rental Income 租金收入			
<input type="checkbox"/> Others (Please specify) 其他 (請註明)  _____			

## X. Collection and Use of Personal Data 個人資料的收集和使用

I confirm that I have read and understand the latest data privacy policy ("the Policy"), a copy of which has been given to me, and I understand and agree that my personal data may be transferred and used in accordance with the Policy.

本人確認本人已閱讀並理解關於已提供予本人最新資料私隱政策 (以下簡稱「該政策」) 之副本，並明白及同意本人所提供的個人資料可能會根據該政策被轉移及使用。

### Opt-out from the use of personal data in direct marketing 不選擇個人資料被用作直接銷售

I do not wish the relevant HSBC Broking Companies to use my personal data in direct marketing and/or to provide my personal data to any other persons for their use in direct marketing.

本人不希望本人的個人資料被相關滙豐金融公司用作直接銷售及/或將本人的個人資料提供予任何其他人士作直接銷售。

This request is for accounts with the relevant HSBC Broking Companies only. If you wish to indicate whether or not to receive direct marketing contact or information from Commercial Banking, Private Banking or other business lines with which you have banking relationships, you must complete a separate form. Please contact the relevant HSBC Broking Companies for details. The above represents your present choice whether or not to receive direct marketing contact or information. This replaces any choice communicated by you to the relevant HSBC Broking Companies prior to this request.

以上要求只適用於在相關滙豐金融公司的戶口。客戶如希望指出是否接收來自工商金融、私人銀行及與其他業務類別有銀行業務關係的直接銷售聯繫或資料，必須填寫額外表格。詳情請聯繫相關滙豐金融公司。以上代表閣下現時對於接收直接銷售的聯繫或資料與否的選擇。此要求會取代閣下之前曾經向相關滙豐金融公司作出的任何選擇。

### Note:

注意：Your above choice applies to the direct marketing of the classes of products, services and/or subjects as set out in the Policy. Please also refer to the Policy on the kinds of personal data which may be used in direct marketing. This opt-out does not affect our investment advisory service (in accordance with your selection for Investment Advisory Service in Section XIII. Optional Services) or client engagement activities (eg inviting selected customers to attend seminars), during which we may market products and services to you. If you wish to opt-out from either of these, please contact your Relationship Manager. 閣下以上的選擇適用於直接銷售在該政策內列明的各類產品，服務及/或項目。另外，請參考該政策內有關可能會用在直接銷售的個人資料類別。選擇個人資料不作直接促銷用途不會影響我們的投資諮詢服務 (根據閣下於 XIII 部自選服務有關是否收取投資顧問服務的選擇) 或客戶參與活動 (例如邀請特選客戶參加研討會)，透過此服務或活動我們可能會向您推銷產品和服務。如果您希望退出其中任何一項，請聯繫您的客戶經理。

## XI. Customer Declaration 客戶聲明

### Relationship Declaration 關係申報

Are you a ♦relative of any of the directors/♦employee/♦controller/♦minority shareholder controller of The Hongkong and Shanghai Banking Corporation Limited ("HSBC"), its branches, subsidiaries or affiliates in Hong Kong or overseas (eg Hang Seng Bank, the relevant HSBC Broking Companies), or other entities over which HSBC is able to exert control?

申請人是否為香港上海滙豐銀行有限公司（滙豐）、其分行、其附屬公司或其聯屬公司不論在香港境內或境外（例如恒生銀行，相關滙豐金融公司），或滙豐能對其行使控制的其他實體的董事／僱員／控權人／小股東控權人的親屬？

No, and I agree to notify the relevant HSBC Broking Companies promptly in writing if this information is no longer up-to-date, complete and accurate

否，倘這些資料不再真實正確，本人同意儘速以書面通知相關滙豐金融公司

Yes (Please state the full name of your relative):

是（請填上親屬的名字）：

Full Name in English 英文全名	Relationship 關係

Are you a director/employee/controller/minority shareholder controller of HSBC, its branches, subsidiaries or affiliates in Hong Kong or overseas, or other entities over which HSBC is able to exert control?

申請人是否為滙豐、其分行、其附屬公司或其聯屬公司不論在香港境內或境外，或滙豐能對其行使控制的其他實體的董事／僱員／控權人／小股東控權人？

No, and I agree to notify the relevant HSBC Broking Companies promptly in writing if this information is no longer up-to-date, complete and accurate

否，倘這些資料不再真實正確，本人同意儘速以書面通知相關滙豐金融公司

Yes (Please state your staff number):

是（請填上職員號碼）：

Staff Number 職員號碼

I confirm that I have obtained consent from the individuals listed above for the provision of their information to the relevant HSBC Broking Companies and HSBC, its branches and its subsidiaries for the purpose of enabling the relevant HSBC Broking Companies and HSBC to comply with the Banking Ordinance.

本人確認本人已獲得以上提及的人士的同意提供其資料給相關滙豐金融公司及滙豐、其分行及其附屬公司以便相關滙豐金融公司及滙豐能夠遵守《銀行業條例》。

I hereby authorise the relevant HSBC Broking Companies and HSBC's branches and subsidiaries to disclose to HSBC information relating to the unsecured facilities granted by them to the above persons for the purpose of verifying the information provided by me.

本人授權相關滙豐金融公司及滙豐的分行及附屬公司披露有關以上提及的人士於滙豐的分行及附屬公司持有的無保証融通的資料以便核實本人提供的資料。

**Note:** ♦ You may request the relevant HSBC Broking Companies for the definitions of terms used in this section and a list of the abovementioned entities.

**注意：** ♦ 閣下可向相關滙豐金融公司查詢有關定義及以上所提及機構的名單。

Related Accounts 關連賬戶	Do you, does your spouse or any company controlled by you or jointly with your spouse (with 35% or more voting rights) maintain any other account(s) with the relevant HSBC Broking Companies? If Yes, please provide details: 閣下／閣下之配偶／任何閣下單獨或與配偶共同控制之公司（持有 35% 或以上之投票權）現時是否持有相關滙豐金融公司之賬戶？如閣下選擇“是”，請提供賬戶詳細資料：	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
	Account Name 賬戶名稱：	Account No. 賬戶號碼：
	Account Name 賬戶名稱：	Account No. 賬戶號碼：
	Account Name 賬戶名稱：	Account No. 賬戶號碼：

**Section B – This section is to be jointly completed by  
Principal/Sole and all Joint Account Holders**  
乙部 – 此部分由第一／獨立及所有聯名戶口持有人共同填寫

## XII. Bank Account Details 銀行戶口資料

<p>1. Designated Bank Account Details 往來銀行及指定銀行戶口詳細資料 (Name of account held with designated bank must be identical to the name of this account) (往來銀行及指定銀行戶口必須與本戶口名稱相同)</p>	<p>The following bank account(s) under my/our name is/are designated for receiving payments from the relevant HSBC Broking Companies account, and the instructions of which are to be given by me/us or my/our authorised person(s) (if any) from time to time by phone or in writing. These bank account details will remain valid until the relevant HSBC Broking Companies receive written notice otherwise from me/us. 本人/本人等或我(們)的授權人(如有)將不時透過電話或書面發出的付款指示由本人等的相關滙豐金融公司戶口付款到以下指定銀行戶口。除非相關滙豐金融公司收到由我(們)發出的電話或書面通知,否則,這些指定銀行戶口的詳細資料將保持有效。</p> <p>The authority given herein supersedes all prior authorities given, if any, relating to the subject matter hereof. 此授權書取代所有過去與此事項相關的授權書(如有)。</p> <p><b>(Applicable to individual/joint bank account(s) that are not opened with The Hongkong and Shanghai Banking Corporation Limited)</b> Please provide supporting documents of the bank account(s), eg bank statement(s) or ATM card(s) showing Bank Account Number and Account Name. <b>(不適用於香港上海滙豐銀行有限公司的個人/聯名客戶帳戶)</b> 請提供能顯示銀行帳戶持有人及帳戶號碼的證明文件(如銀行對賬單、提款卡等)以作證明。</p>	
	<p>Bank Account 1 銀行戶口 1</p>	<p>Name of Bank 銀行名稱</p> <p>Bank Account Number 銀行戶口號碼</p> <p>Account Name 銀行客戶姓名</p> <p>Country/Region 國家/地區</p>
<p>Bank Account 2 銀行戶口 2</p>	<p>Name of Bank 銀行名稱</p> <p>Bank Account Number 銀行戶口號碼</p> <p>Account name 銀行客戶姓名</p> <p>Country/Region 國家/地區</p>	
<p>2. Standing Authority to Return payment from third party to its source 退回第三者存款至資金所屬的來源的常設授權</p>	<p>I/ We hereby authorise and instruct you to return, without notice, any third party payments received into my/our account(s) from time to time to their source. 本人/本人等特此授權及指示貴公司,將不被許可的第三者存款退回至資金所屬的來源。</p> <p>I/ We understand that you are not liable to me/us or any third party for any interest, charges, expenses, claims, losses, costs and damages in connection with your reliance on this authority and instruction. 貴公司概不負責客戶一切因退款所引致的相關費用、銀行利息或客戶與第三方之個人損失及追討。</p> <p>This authority is valid for a period of 12 months from the date on which this document is signed. I/We may revoke this authority by giving not less than two Business Days (as defined in the Terms of Business) written notice to you. Unless revoked by me/us, this authority shall be deemed to be renewed on a continuing basis without my/our written consent if you issue me/us with a written reminder at least 14 days prior to the expiry date of this authority, and I/we do not object to such deemed renewal before that expiry date. 此授權書之有效期為本開戶表格及客戶資料聲明書簽發日起計 12 個月,在本授權書的有效期 12 個月屆滿時,除非已續期,否則本授權書將被視為失效,本授權書可在給予不少於 2 個營業日的書面通知(於客戶合約內訂明)而被撤銷。除非經本人/本人等撤回此授權書,如你在本授權書屆滿前最少十四(14)日前向本人/本人等發出延續通知而本人/本人等並沒有反對延續本授權,在沒有本人/本人等之書面同意下,本授權書將視作繼續延期。</p>	
	<p><b>X</b></p> <p>_____ Signature of Principal/Sole Account Holder 第一/獨立戶口持有人簽署</p>	<p><b>X</b></p> <p>_____ Signature(s) of Joint Account Holder(s) (Applicable to Joint Account) 聯名戶口持有人簽署(適用於聯名戶口)</p>

### XIII. Optional Services 自選服務

<p>1. Investment Advisory Service 投資顧問服務</p>	<p>Do you wish to receive investment advisory services? 閣下是否希望收取投資顧問服務?</p> <p><input type="checkbox"/> Yes 是 (Subject to our customer suitability assessment for receiving investment advisory services.) (必須通過我們的適用性評估要求才可收取投資顧問服務。)</p> <p><input type="checkbox"/> No 否</p> <p>(If you tick "No", no investment advisory service will be provided to you and your account will be operated on an execution only basis. You may apply for such services in the future provided that you fulfill our suitability requirements.) (如選擇「否」，閣下將不會收到投資顧問服務，而閣下的戶口將根據閣下的指示執行交易。閣下將來可以重新申請有關服務，但必須通過我們的適用性評估要求。)</p>							
<p>2. eStatement/eAdvice Services 電子結單／電子結單備註服務</p>	<p><input type="checkbox"/> I/We would like to register for eStatement/eAdvice Services 本人／本人等需要登記電子結單／電子結單備註</p> <p><input type="checkbox"/> E eStatement/eAdvice Services are not required 不需要登記電子結單／電子結單備註服務</p> <p>(Contract notes, daily activity statements and monthly activity statements issued by the relevant HSBC Broking Companies will be sent to the e-mail address of the Principal/Sole Account Holder given above with immediate effect and until further notice. Customers who are registered for receiving eStatement/eAdvice will not receive any contract notes or activity statements by mail.) (相關滙豐金融公司發出的成交單據、日結單及月結單將透過電郵地址發送至第一／獨立戶口持有人，由即日起生效直至另行通知。客戶登記電子結單／電子結單備註將不經郵遞收取成交單據及結單。)</p>							
<p>3. Digital Trading Services 網上交易服務</p>	<p>(Applicable only to customers who would like to open an account with HSBC Broking Securities (Asia) Limited) (此網上交易服務只適用於將開立滙豐金融證券(亞洲)有限公司戶口的客戶)</p> <p><input type="checkbox"/> I/We would like to apply for the digital trading services 本人／本人等需要申請網上交易服務 (You are required to fill in Mobile number(s) and E-mail Address in section "VII Customer Contact Information" for this option.) (如閣下申請網上交易服務，必需在「VII 客戶聯絡資料」部分中填寫手提電話及電郵地址。)</p> <p><input type="checkbox"/> Digital trading services are not required 不需要申請網上交易服務</p>							
<p>4. China Connect Service 中華通服務</p>	<p><input type="checkbox"/> I/We would like to register for China Connect Service<sup>*10</sup> 本人／本人等需要開設(「中華通戶口」)<sup>*10</sup></p> <p><input type="checkbox"/> China Connect Service is not required 不需要開設(「中華通戶口」)</p>							
<p>5. Total relationship balance of all my/our bank accounts within the HSBC Group. 滙豐銀行集團內所有銀行戶口的全面理財總值</p>	<p>(Applicable only for Premier/Jade customer of The Hongkong and Shanghai Banking Corporation Limited ("HSBC") (只適用於香港上海滙豐銀行有限公司(「滙豐銀行」)的卓越理財客戶／尚玉客戶)</p> <p><input type="checkbox"/> I/We consent to have the data regarding the aggregated net equity value of my/our account(s) held with the relevant HSBC Broking Companies to be transferred to and used by HSBC for the purpose of calculating the total relationship balance of all my/our bank accounts within the HSBC Group. 本人／本人等同意轉交本人／本人等於相關滙豐金融公司所開立戶口有關股權淨值總額的資料予滙豐銀行用作計算本人／本人等於滙豐銀行集團內所有銀行戶口的全面理財總值。</p>							
<p>6. SMS Notifications 短訊提示 (Please choose 1 language only even when more than one mobile phone number is provided) (如多於一個手提電話號碼用作短訊提示，客戶也只能選擇一種語言)</p>	<p>a. SMS language 語言 (Please select one only) (請選擇一項)</p> <table border="0" style="width: 100%;"> <tr> <td style="text-align: center;"><input type="checkbox"/> English 英文</td> <td style="text-align: center;"><input type="checkbox"/> Traditional Chinese 繁體中文</td> <td style="text-align: center;"><input type="checkbox"/> Simplified Chinese 簡體中文</td> </tr> </table> <p>b. Mobile of the Principal/Sole Account Holder for SMS Notification 第一／獨立戶口持有人手提電話短訊提示 (Please select one only) (請選擇一項)</p> <table border="0" style="width: 100%;"> <tr> <td style="text-align: center;"><input type="checkbox"/> Mobile 1<sup>*11</sup> 手提電話 1<sup>*11</sup></td> <td style="text-align: center;"><input type="checkbox"/> Mobile 2<sup>*11</sup> 手提電話 2<sup>*11</sup></td> </tr> </table> <p>bii. Mobile of Joint Account Holder for SMS Notification 聯名戶口持有人手提電話短訊提示 (Please select one only) (請選擇一項)</p> <table border="0" style="width: 100%;"> <tr> <td style="text-align: center;"><input type="checkbox"/> Mobile 1<sup>*11</sup> 手提電話 1<sup>*11</sup></td> <td style="text-align: center;"><input type="checkbox"/> Mobile 2<sup>*11</sup> 手提電話 2<sup>*11</sup></td> </tr> </table>	<input type="checkbox"/> English 英文	<input type="checkbox"/> Traditional Chinese 繁體中文	<input type="checkbox"/> Simplified Chinese 簡體中文	<input type="checkbox"/> Mobile 1 <sup>*11</sup> 手提電話 1 <sup>*11</sup>	<input type="checkbox"/> Mobile 2 <sup>*11</sup> 手提電話 2 <sup>*11</sup>	<input type="checkbox"/> Mobile 1 <sup>*11</sup> 手提電話 1 <sup>*11</sup>	<input type="checkbox"/> Mobile 2 <sup>*11</sup> 手提電話 2 <sup>*11</sup>
<input type="checkbox"/> English 英文	<input type="checkbox"/> Traditional Chinese 繁體中文	<input type="checkbox"/> Simplified Chinese 簡體中文						
<input type="checkbox"/> Mobile 1 <sup>*11</sup> 手提電話 1 <sup>*11</sup>	<input type="checkbox"/> Mobile 2 <sup>*11</sup> 手提電話 2 <sup>*11</sup>							
<input type="checkbox"/> Mobile 1 <sup>*11</sup> 手提電話 1 <sup>*11</sup>	<input type="checkbox"/> Mobile 2 <sup>*11</sup> 手提電話 2 <sup>*11</sup>							

\*10 Account holder(s) who is/are resident or domiciled in mainland China (excluding Hong Kong SAR, Macau SAR, and Taiwan) and has not obtained an identity document as proof of permanent residence in a country or region outside mainland China are not eligible to register for China Connect Service.

中國內地居民或定居在中國內地(不包括香港特別行政區、澳門特別行政區、台灣)或未有持有由其他非中國內地國家／地區所發出的身份證明文件以作為擁有該國家／地區永久居留權之證明的戶口持有人不能開設(「中華通戶口」)

\*11 Mobile 1 and Mobile 2 refers the mobile number 1 and 2 received in the Account Opening Form and Customer Information (Individual/Joint Account) Statement - Section VII Customer Contact Information.

此手提電話 1 及手提電話 2 指開戶表格及客戶資料聲明書(個人／聯名戶口) VII 部份收集的客戶聯絡手提電話號碼 1 及 2。

### XIII. Optional Services (Continued) 自選服務 (續)

<p>6. SMS Notifications 短訊提示</p>	<p>Unless you tick one of the boxes below, the relevant HSBC Broking Companies may from time to time send SMS notifications to you (including all joint account holders) in respect of matters relevant to your account(s) and the availability of services provided under the Customer Agreement. 如閣下不希望接收相關滙豐金融公司就本人／本人等戶口相關事宜並根據商業條款所提供的服務的情況下而發出的短訊提示，請選擇以下其中一項。</p> <p><input type="checkbox"/> I/We do not wish to receive SMS notifications. 本人／本人等不希望接收相關滙豐金融公司所發出的短訊提示。</p> <p><input type="checkbox"/> I/We do not wish the following individual(s) to receive SMS notifications. I/We understand that the other joint account holder(s) may receive these notifications. 本人／本人等不希望以下人士（等）接收相關滙豐金融公司所發出的短訊提示，但本人／本人等明白其他聯名戶口持有人（等）或會繼續接收此類短訊提示。</p> <p>Name of Account Holder(s) 戶口持有人姓名: _____</p> <p><i>If you are applying for digital trading services, please note that the above selection will not affect SMS notifications sent in relation to digital trading activity.</i> 請注意如閣下申請網上交易服務，以上之選項並不影響接收網上交易服務相關之短訊提示。</p>
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#### XIV. Customer Declaration - CRPQ 客戶風險取向問卷 – 客戶聲明

I declare that I have read and understood this CRPQ. I hereby confirm that all the answers to the questions in this CRPQ are provided by me and are up-to-date, complete and accurate to the best of my knowledge and I agree with the risk profiling result as set out above in Part II of this CRPQ (which will be relied upon by and captured in the records of the relevant HSBC Broking Companies).

本人聲明，本人已閱讀並理解本客戶風險取向問卷。本人謹此確認，本問卷所有問題的答案均由本人提供，就本人所知屬最新，完整和準確的，本人認同本問卷第二部分之結果（結果將由相關滙豐金融公司記錄為本人的風險承受取向及投資目標）。

I acknowledge that (1) this CRPQ only serves as a reference for my consideration when making my own investment decisions and the risk profiling result does not constitute offer or solicitation to buy or sell or recommendation of any product and service and should not be considered as investment advice; (2) the risk profiling result was derived from information provided by me; (3) the relevant HSBC Broking Companies accept no responsibility or liability to check the accuracy or completeness of the information provided by me herein; (4) I should also consider my own circumstances, including but not limited to my financial situation, investment experience and investment objectives, before making any investment decisions; and (5) my failure in providing up-to-date, complete and accurate information would materially affect any suitability assessment by the relevant HSBC Broking Companies.

本人確認：（1）本問卷只作為本人作出個人投資決定時的參考，客戶風險取向結果並不構成要約或招攬購買，出售或推薦任何產品和服務，客戶不應視結果為投資建議；（2）客戶風險取向結果是由我提供的資料所獲得的；（3）相關滙豐金融公司將不承擔任何責任或義務檢查我提供的信息的準確性和完整性；（4）在做出任何投資決定之前，我還應該考慮本人的個人狀況，包括但不限於我的財務狀況，投資經驗和投資目標；（5）如我未能提供最新，完整和準確的資料，將會嚴重影響相關滙豐金融公司的任何合適性評估。

I undertake to advise the relevant HSBC Broking Companies of any change in circumstances which would affect my risk tolerance profile, and to re-perform the CRPQ as soon as possible should there be any such change in circumstances.

本人承諾，如有任何情況變動會影響我的投資風險承受取向，我會告知相關滙豐金融公司，並盡快重新填寫客戶風險取向問卷。

If I have appointed or will appoint authorised traders, I will ensure that they understand my financial situation, and are competent and suitably qualified (having regard to their investment knowledge and experience):

- (1) for my investment objectives, strategies and processes;
- (2) to operate my account(s) with the relevant HSBC Broking Companies; and
- (3) to communicate with the relevant HSBC Broking Companies for any suitability assessment and explanation of any products or services.

如果已經委任或將委任授權交易人，我會確保他們了解我的財務狀況，並且勝任及有合適資格（考慮到他們的投資知識及經驗）：

- (1) 為我的投資目標，策略及流程；
- (2) 操作我在相關滙豐金融公司的戶口；及
- (3) 與相關滙豐金融公司對任何產品或服務的合適性評估及解釋進行溝通。

##### Applicable to Account Holder of a joint account

I acknowledge that (1) each account holder must complete a CRPQ for investing through the joint account; and (2) the relevant HSBC Broking Companies will use the most stringent or conservative risk tolerance profile out of all the most recent risk profiling results for all joint account holders to apply to the joint account.

##### 適用於聯名戶口持有人

本人確認：（1）聯名戶口的每位戶口持有人透過聯名戶口作出投資前，必須各自填妥本問卷；（2）在聯名戶口的每位戶口持有人各自最近在本問卷第二部分就該聯名戶口所作評估的整體結果中，相關滙豐金融公司會以最嚴格或最保守的回答作為依據。

##### Applicable to Account Holder who holds multiple accounts or acts as an authorised trader for other account(s)

I acknowledge and agree that the information provided in this Customer Risk Profiling Questionnaire will be applied to all of my accounts.

If I act as an authorised trader for other account(s), I also acknowledge and agree that the Investment Product Knowledge and Experience Profile (section III above) and Derivatives Knowledge and Experience Profile (section IV above) will also be applied to those account(s). This means the holder(s) of those account(s) and persons authorised by them will be able to access this information, and this information will be used for such purposes as the holder(s) of those account(s) are informed of, or consent to, from time to time.

##### 適用於持有多個戶口或作為其他戶口授權交易人的戶口持有人

本人確認並同意本人於此客戶風險取向問卷所提供之資料將會適用於所有本人的帳戶。

如本人作為其他帳戶之授權交易人，本人亦確認並同意本人於此客戶風險取向問卷所提供之投資產品知識及經驗概況(上述第 III 部份) 及衍生工具產品投資知識及經驗概況(上述第 IV 部份)將會適用於該等帳戶，即代表該等帳戶的持有人或其授權人士將可獲取該資料。而且，該資料將可被用作該等帳戶持有人不時被通知或同意之用途。



## XV. Customer Signatory(ies) and Declaration 客戶簽名及聲明

- I/We confirm that I/we have read and understand this Account Opening Form and Customer Information Statement, the relevant Customer Agreement(s), the relevant Terms of Business and any related supplementary documents including but not limited to the CRPQ and the risk disclosure statements. In particular, I/we have been invited to read the risk disclosure statements, ask questions and take independent advice. I/We also confirm that I/we wish to receive copies of the abovementioned documents by post.  
本人/本人等確認已閱讀及明白本開戶表格及客戶資料聲明書、相關開戶合約、客戶合約及任何有關補充文件（包括但不限於客戶風險取向問卷及風險披露聲明）。本人/本人等亦已獲邀閱讀風險披露聲明、發問及徵求獨立的意見。本人/本人等確認本人/本人等希望以郵遞方式收到有關文件副本。
- I/We hereby agree that the relevant HSBC Broking Companies do not assume any responsibility whatsoever for any interruption, loss of customer agreements and the related supplementary documents, third party interception, delay or failure in sending the abovementioned documents by post.  
本人/本人等同意對於以郵遞方式傳送上述文件時出現中斷、遺失開戶合約及有關補充文件、第三者干擾、延誤或失敗，相關滙豐金融公司一概不會承擔任何責任。
- I/We undertake to keep the relevant HSBC Broking Companies indemnified at all times against, and to save the relevant HSBC Broking Companies harmless from all actions, proceedings, claims, loss, damage, costs and expenses which may be brought against the relevant HSBC Broking Companies or suffered or incurred by the relevant HSBC Broking Companies and which shall have arisen either directly or indirectly out of or in connection with the relevant HSBC Broking Companies' accepting the above instructions from me/us and acting thereon.  
本人/本人等承諾賠償相關滙豐金融公司隨時可能面對或引起的一切法律行動、訴訟、索償、損失、損毀、費用及開支或因此而蒙受的損失，無論此等行為是直接或間接源自或關乎相關滙豐金融公司接納本人/本人等的指示及執行該等指示。
- I/We confirm that I/we am/are the beneficial owner(s) (ie the person(s) who ultimately benefit(s) from or bear(s) the risk of all transactions) in relation to the account(s).  
本人/本人等確認本人/本人等是以實益擁有人身分（即全部交易的最終利益或風險之承受者）在此戶口進行交易。
- I/We hereby confirm that I/we am/are NOT 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, whether for US 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. I/We undertake to immediately notify you should I/we (in case of joint account holders, any one of us) become or become deemed to be resident(s), citizen(s) or tax payer(s) of the US or if any of my/our address(es) on your record is or should be changed to US at any future time.  
本人/本人等確認，就美國的證券或稅務法例或其他方面而言，本人/本人等均並非美國居民或美國公民或美國納稅人。本人/本人等承諾如本人/本人等（如為聯名戶口，則其中任何一位戶口持有人）日後成為或被視為美國居民、美國公民、美國納稅人或本人/本人等的地址是或應改為美國地址，將立即通知本公司。
- (For accounts to be opened with HSBC Broking Forex (Asia) Limited) I/We hereby undertake that any funds used by me/us for the purposes of leveraged foreign exchange trading is permitted under mainland China laws and regulations to be placed in an offshore account.  
(適用於開啟滙豐金融外匯(亞洲)有限公司戶)，本人/本人等承諾其資金進行槓桿式外匯買賣服務必須合乎中國內地就境外戶口的法例及條例。
- I/We declare that I/we am/are not currently a licensed representative or responsible officer of a licensed corporation; a relevant individual or executive officer of a registered institution; an employee of a licensed corporation or registered institution; or an employee of HSBC Global Services (Hong Kong) Limited ("Regulated Person").\* Otherwise, I/we understand that I/we am/are required to provide to the relevant HSBC Broking Companies written consent(s) from my/our employer(s) before I/we can open and operate this account. I/we undertake to promptly notify the relevant HSBC Broking Companies if I/we become or cease to be a Regulated Person.  
*Note: Licensed representative, responsible officer, licensed corporation, and registered institution have the meanings set out in the Securities and Futures Ordinance (Cap. 571, Laws of Hong Kong). Relevant individual and executive officer have the meanings set out in the Banking Ordinance (Cap. 155, Laws of Hong Kong).*  
本人/本人等聲明本人或本人等現時並非為持牌人士/負責人員；或受聘於任何註冊機構並出任為相關/行政人員；或受聘於任何持牌/註冊機構之僱員；或受聘於 HSBC Global Services (Hong Kong) Limited 之僱員（受規管人士），否則本人/本人等明白本人/本人等必須向相關滙豐金融公司提供本人/本人等之僱主所發出的同意書，方可以於相關滙豐金融公司開立及使用此投資戶口。本人/本人等並承諾如將出任或不再出任受規管人士，將立即通知相關滙豐金融公司。  
*註：有關於此聲明中提及持牌人士；負責人員；持牌機構和註冊機構之定義，請參閱證券及期貨條例（香港法例第 571 章）。有關於此聲明中提及相關人士和行政人員之定義，請參閱銀行業條例（香港法例第 155 章）。*
- I/We declare that the information given and statements made in this form are, to the best of my/our knowledge and belief, true, correct and complete.  
本人/本人等聲明就本人/本人等所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature of Principal/Sole Account Holder

第一/獨立戶口持有人簽署

X

Name of Principal/Sole Account Holder:

第一/獨立戶口持有人姓名：

Date:

日期：

Signature(s) of Joint Account Holder(s)

聯名戶口持有人簽署

(Applicable to Joint Account 適用於聯名戶口)

X

Name(s) of Joint Account Holder(s):

聯名戶口持有人姓名：

Date:

日期：

Note: The English version shall prevail in the event of any inconsistency between the English and Chinese versions of this Account Opening Form and Customer Information Statement.

註：本開戶表格及客戶資料聲明書之中英文本如有任何歧義，概以英文本為準。

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