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

CONSENT FORM / DECLARATION FORM 同意書／ 聲明書

Note 注意： 1. # "Portfolio" means a portfolio comprising any of the following:
#「投資組合」是指包括以下任何投資的投資組合：
(a) securities; 證券；
(b) certificates of deposits; 存款證；
(c) money. 款項。
2. "Associate" means the spouse or child of the applicant/customer 「有聯繫者」是指申請人／ 客戶的配偶或子女
3. Please tick where applicable. 請在適當的地方加上剔號。

Date 日期	day 日 / month 月 / year 年
	22-Mar-2023

Applicant/Customer Name 申請人／ 客戶名稱

Identification Document Details 身分證明文件資料

Type 種類： ☐ *(I)* Hong Kong Identity Card 香港身分證 ☐ *(P)* Passport 護照 ☐ *(C)* Certificate of Incorporation 公司註冊證書
☐ *(B)* Business Registration Certificate 商業登記證 ☐ *(X)* Others 其他：

Number 號碼：

STP (EMC)

I. Consent Form *(Applicable for Investment/Life Insurance Related Products/Services)* 同意書 *（適用於投資／ 人壽保險相關產品／ 服務）*

☐ I am interested in Investment Services/Products and Forex Linked Deposits, and would be happy to receive relevant materials and have your staff contact me to provide me with such information in the future.
本人對投資服務／ 產品及外匯掛鈎存款感興趣，並樂意於日後收到有關的資料，而貴行職員亦可聯絡本人，以提供此等資料。

☐ I provide my consent for the Bank to make reference to my deposit account information maintained with the Bank during the sales process in order to provide me with information on relevant investment product/service and/or life insurance product/service.
本人同意貴行於銷售過程中參考本人於貴行的存款戶口資料，以便貴行為本人提供相關投資產品／ 服務及／ 或人壽保險產品／ 服務的資料。

II. Declaration Form *(Applicable for Declaration on Professional Investor Status Only)* 聲明書 *（只適用於專業投資者聲明）*

(Applicable to Sole Account from HSBC Only 只適用於滙豐的獨立戶口)

☐ I have a total #portfolio of not less than HKD8 million or its equivalent in any foreign currencies held in my sole account(s) with HSBC.
本人於滙豐的獨立戶口擁有總額不少於港幣八百萬或任何等值的外幣的#投資組合。

(Applicable to Sole Account from Other Financial Institutions Only 只適用於其他金融機構的獨立戶口)

☐ I provide herewith my latest available account statement(s) relating to my sole account(s) (which must be dated within 3 months prior to the current date) from other financial institutions **and/or** 本人提供於其他金融機構的獨立戶口的最新戶口結單（結單日期必須在今日前三個月內）及／ 或

☐ I provide herewith a reference letter relating to my sole account(s) from other financial institutions dated within 3 months prior to the current date. 本人提供於其他金融機構發出的有關本人獨立戶口的證明（有關文件日期必須在今日前三個月內）。

(Applicable to Joint Account with Associate Only 只適用於與有聯繫者的聯名戶口)

☐ I confirm that the joint account holder(s) of my joint account(s), either held with the Bank or with other financial institutions, are my Associate(s) and there is no written agreement governing the sharing of the Portfolio between me and any joint account holder(s) in relation to my joint account(s). I therefore understand and agree that the Bank deems that each joint account holder is attributed the stated percentage of share of the Portfolio in my joint account(s) according to the Associate relationship as follows:
本人確認本人在貴行或其他金融機構的聯名戶口中，其他聯名戶口持有人是本人的有聯繫者及我們沒持有書面協議指定聯名戶口持有人就本人聯名戶口擁有投資組合的份額。因此，根據有聯繫者的關係，本人明白及同意貴行把本人的聯名戶口的每位戶口持有人視作擁有以下不同的投資組合份額：

1. For spouse relationship, each account holder is attributed 100% share of the Portfolio in the joint account(s).
如聯名戶口持有人為本人配偶，每名聯名戶口持有人視作擁有聯名戶口中 100% 的投資組合份額。
2. For parent child relationship, the parent is attributed 100% share of the Portfolio in the joint account(s).
如聯名戶口持有人為本人的子女，父母視作擁有聯名戶口中 100% 的投資組合份額。

☐ I provide herewith my latest available account statement(s) relating to my joint account(s) (which must be dated within 3 months prior to the current date) from other financial institutions **and/or**
本人提供於其他金融機構的聯名戶口的最新戶口結單（結單日期必須在今日前三個月內）及／ 或

☐ I provide herewith a reference letter relating to my joint account(s) from other financial institutions dated within 3 months prior to the current date. 本人提供於其他金融機構發出的有關本人聯名戶口的證明（有關文件日期必須在今日前三個月內）。

II. Declaration Form *(Applicable for Declaration on Professional Investor Status Only) (Continued)* 聲明書*（只適用於專業投資者聲明）（續）*

(Applicable to Joint Account with Non-Associate(s) Only 只適用於與沒有聯繫者的聯名戶口)

☐ I confirm that there is no written agreement governing the sharing of the Portfolio between joint account holders in relation to my joint account(s), either held with the Bank or with other financial institutions. I therefore understand and agree that the Bank deems that each joint account holder is attributed an equal share of the Portfolio in my joint account(s). 本人確認沒持有書面協議指定聯名戶口持有人就本人聯名戶口擁有投資組合的份額。因此，本人明白及同意貴行把本人聯名戶口的每位戶口持有人視作擁有相等的投資組合份額。

- ☐ I provide herewith my latest available account statement(s) relating to my joint account(s) (which must be dated within 3 months prior to the current date) from other financial institutions, **and/or** 本人提供於其他金融機構的聯名戶口的最新戶口結單（結單日期必須在今日前三個月內）**及／或**
- ☐ I provide herewith a reference letter relating to my joint account(s) from other financial institutions dated within 3 months prior to the current date. 本人提供於其他金融機構發出的有關本人聯名戶口的證明（有關文件日期必須在今日前三個月內）。

Together with the assets held at HSBC, I have a total #portfolio of not less than HKD8 million or its equivalent in any foreign currencies held in my accounts. 連同存放於滙豐的資產，本人的戶口擁有總額不少於港幣八百萬或任何等值的外幣的#投資組合。

I understand and agree that, based on the information in its possession from time to time, the Bank may consider me as a Professional Investor (as defined in section 1 of Part I of Schedule 1 of the Securities and Futures Ordinance and the Hong Kong Securities and Futures (Professional Investor) Rules) for the purpose of marketing Product to me. 本人明白及同意貴行可以基於其不時擁有的資料，根據《證券及期貨條例》第 1 條第 I 部附表 1 和《證券及期貨（專業投資者）規則》定義本人為專業投資者以用作向本人推廣產品。

I understand and agree that (i) any information I provide under this Declaration Form, including the relationship declared (if applicable), remains valid until the next assessment of my Professional Investor status which is to be conducted 12 months from the date hereof and (ii) that any declaration or assumption with regards to the sharing of the Portfolio between joint account holders is deemed to be solely for the purposes of assessing my Professional Investor status and does not create any legal right over the Portfolio(s) or impose obligations on the Bank. 本人明白及同意 (i) 任何本人在此聲明書提供的資料包括申明的關係（如適用），由即日起至 12 個月後進行下一次專業投資者資格評估前均屬實和 (ii) 任何有關聯名戶口中各持有人的投資組合份額的申明或假設，僅用作評估本人是否符合專業投資者的資格，並不因此而產生任何有關投資組合的法律權益或對貴行施加義務。

Note 注意： 1. * Please specify any one account number to which the signature can apply.
* 請註明任何一個用以下簽署的戶口號碼。
2. ✞ For business customer, the authorised signatory is signing for and on behalf of the company.
✞ 倘若是公司客戶，授權簽署人是代表該公司簽署。

*Account Number 戶口號碼	✞Signature 簽署
	X S.V.

You may, at any time, choose not to receive marketing communication about our services. Please let us know by calling 2233 3322 for HSBC Premier customers or 2233 3000 for Other Personal Banking customers or 2748 8288 for Commerical Customers, and we will delete your name from our contact lists without charges.
如您不想收取有關本行服務的宣傳通訊，如屬滙豐卓越理財客戶，請致電 2233 3322；其他個人理財客戶，請致電 2233 3000；工商金融客戶，請致電 2748 8288，本行即會從通訊名單中刪除您的姓名。此項安排不另收費。

Associate's Relationship Declaration (Applicable to Joint Account with Associate(s) Only):
有聯繫者的關係聲明（只適用於與有聯繫者的聯名戶口）：

1	Name of Associate 有聯繫者的姓名 Relationship with Applicant/Customer 與申請人/ 客戶關係 ☐ Spouse 配偶 ☐ Child 子女	X Signature of Associate (if applicable) 有聯繫者的簽署（如適用）
2	Name of Associate 有聯繫者的姓名 Relationship with Applicant/Customer 與申請人/ 客戶關係 ☐ Spouse 配偶 ☐ Child 子女	X Signature of Associate (if applicable) 有聯繫者的簽署（如適用）
3	Name of Associate 有聯繫者的姓名 Relationship with Applicant/Customer 與申請人/ 客戶關係 ☐ Spouse 配偶 ☐ Child 子女	X Signature of Associate (if applicable) 有聯繫者的簽署（如適用）

For Bank Use Only 銀行專用

Applicable for Declaration on Professional Investor Status			***For CMB only***	Branch/Department Chop and Authorised Signature
Portfolio Amount held in	**Sole Account**	**Joint Account** *(applicant's share only)*	Endorsement from Supervisor with GCB4 or above must be obtained.	
HSBC portfolio balance as of today				
Non HSBC portfolio balance *(as indicated in other financial institutions' statement/reference letter)*			Signature: ____________________	
Total portfolio amount				
Statement/Reference Letter issued by financial institutions in OECD countries or mainland China/Taiwan/Macau/Singapore/Malaysia/India, AND not in the FCCRM red country list ☐ Yes ☐ No	Attach the statement/reference letter from other financial institution AND screen print of current holding at HSBC ☐ Yes ☐ No		Name: ______________________ Title: _______________________	