

To: **The Hongkong and Shanghai Banking Corporation Limited**

Date	day / month / year

INTEGRATED ACCOUNT OPENING/CONVERSION FORM
- INVESTMENT SERVICES

Account Number

- Note:** 1. Please complete in **Block Letters** and tick where applicable.
2. For the avoidance of doubt, this form shall at all times form part of the attached Integrated Account Opening Form or Integrated Account Conversion Form (From Hong Kong Dollar Current Account or Hong Kong Dollar Current Account with Hong Kong Dollar / Foreign Currency Time Deposits Account / Wayfoong Statement Gold Account to Integrated Account).
3. Fields printed in thick borders must be completed.

Settlement Account	(A201/S111/S121/S122)
Settlement amount, fees, commissions, dividend and other Securities/Unit Trust-related transactions to be credited to/debited from	
<input type="checkbox"/> Integrated Current <input type="checkbox"/> Integrated Savings <input type="checkbox"/> GBA Wealth Management Connect <input type="checkbox"/> HSBC New CIES Services	
Note: 1. If secured credit has been set up in Integrated Account, the account with the secured credit should be the same as the settlement account. - For investment in foreign currency, if you choose to redeem via Internet Banking or automated phonebanking and choose to receive your redemption proceeds in your default settlement account which is also the credit facility account, the proceeds will be received in Hong Kong Dollars by default. Please contact our branch or investment hotline if you wish to have other arrangement. - If you choose to receive your proceeds in foreign currency accounts instead of the credit facility account and you have utilised the secured credit facility, please note that you may not be able to reduce the interest expenses for your secured credit facility. 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.	

Questionnaire
1. Investment Experience Types of product(s) you have previously invested (Please choose one or more) <input type="checkbox"/> Bonds/CD <input type="checkbox"/> Stocks <input type="checkbox"/> Unit Trusts <input type="checkbox"/> Futures & Options <input type="checkbox"/> Derivatives <input type="checkbox"/> None Years of Investment Experience <input type="checkbox"/> Less than 1 year <input type="checkbox"/> 1 - 4 years <input type="checkbox"/> 5 - 10 years <input type="checkbox"/> More than 10 years
2. Investment Objectives <input type="checkbox"/> Speculation <input type="checkbox"/> Capital Appreciation <input type="checkbox"/> Regular Income
3. Financial Situation <input type="checkbox"/> Less than or equal to HKD500,000 <input type="checkbox"/> HKD500,001 to HKD1,000,000 <input type="checkbox"/> HKD1,000,001 to HKD5,000,000 <input type="checkbox"/> HKD5,000,001 or above
Note: In order to open an Investment Services Account and to comply with regulatory requirements, please complete the above questionnaire.

Important Notes on Contact Information
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.
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.
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.
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.
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.

Free eAlerts Service - *IPO Update eAlerts		(J051/J052)
Principal/Sole Account Holder	I would like to apply for free:	<input type="checkbox"/> *IPO Update eAlerts
	eAlert Greeting Name (e.g. Nickname)	
	eAlerts Channels	*IPO Update eAlerts: <input type="checkbox"/> Email <input type="checkbox"/> SMS
	eAlerts Language	SMS: <input type="checkbox"/> English <input type="checkbox"/> Chinese Email: <input type="checkbox"/> English <input type="checkbox"/> Chinese
	I would like to receive free promotional eAlerts: <input type="checkbox"/> Yes <input type="checkbox"/> No	
Joint Account Holder	I would like to apply for free:	<input type="checkbox"/> *IPO Update eAlerts
	eAlert Greeting Name (e.g. Nickname)	
	eAlerts Channels	*IPO Update eAlerts: <input type="checkbox"/> Email <input type="checkbox"/> SMS
	eAlerts Language	SMS: <input type="checkbox"/> English <input type="checkbox"/> Chinese Email: <input type="checkbox"/> English <input type="checkbox"/> Chinese
	I would like to receive free promotional eAlerts: <input type="checkbox"/> Yes <input type="checkbox"/> No	
Note: 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 eAlerts by SMS. 2. Email Address must be provided in Section I of "Integrated Account Opening Form" for eAlerts by Email. 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 eAlert for IPO Update.		

Deposit Protection Scheme

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.

Declaration

1. I/We confirm that I/we am/are acting as principal(s) in relation to the Investment Services Account(s).
2. To the extent applicable to my/our account, 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.
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.
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 on regulated activities.
Note: A licensed person means a licensed corporation licensed under the Ordinance. A registered person means a registered institution registered under the Ordinance.
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.
6. 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.
7. I/We hereby declare that I/we have read and understood the Terms and Conditions for HSBC's eAlerts Service and agree to be bound by them.
8. *(Applicable to application for FundMax account, i.e. Investment Services Account with suffix number 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.

9. *(Applicable to application for U.S. Securities Trading Services)*

The Customer represents, warrants, confirms and undertakes as follows:

- 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;
- 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;
- c. that the Customer is not:
 - (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;
 - (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
 - (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

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.

(Applicable to the HSBC GBA Wealth Management Connect Southbound Services (the "WMC Services"))

Capitalised terms used in this Application Form have the same meaning as in the Terms and Conditions for HSBC GBA Wealth Management Connect Southbound Services.

10. I confirm and undertake that:
 - a. I understand the WMC Services are limited to investment in the Eligible Wealth Management Products and cannot be used for any other investment;
 - b. I will invest in my personal capacity and will not authorise any third party to operate my HSBC GBA Wealth Management Connect Account; and
 - c. I understand that all assets held in my HSBC GBA Wealth Management Connect Account (or any part thereof) must be free from any charge, lien or other security interests or encumbrances or claims in favour of any other person.

Declaration (Continued)

11. I authorise you to collect, use or otherwise process my information including my basic personal information, personal identity information, account information, personal property information, transaction-related information (such as the type and value of the transactions I undertake, the inflow and outflow of funds to and from my HSBC GBA Wealth Management Connect Account, the interest or dividend income I receive) and other information related to my HSBC GBA Wealth Management Connect Account ("**my information**") in accordance with the Integrated Account Terms and Conditions (<https://cdn.hsbc.com.hk/content/dam/hsbc/hk/docs/accounts/personal-integrated/terms-and-conditions.pdf>) and the Data Privacy Notice (<https://www.hsbc.com.hk/en-hk/misc/data-privacy-notice>) for the purpose of the WMC Services and/or to comply with Applicable Requirements.

☐ I hereby specifically consent and authorise you, for the purpose of the WMC Services and/or to comply with Applicable Requirements, to:

- a. collect, use or otherwise process my personal identity information, account information, personal property information and transaction-related information; and
- b. share my information with the following parties for the purpose of the WMC Services and/or complying with Applicable Requirements:
 - (i) the cooperating bank in Mainland China that opens my Onshore Remittance Account;
 - (ii) any member or business division of the HSBC group and third party service providers;
 - (iii) any Authorities to comply with Applicable Requirements (such as meeting any aggregate and individual investor quota according to Applicable Requirements and/or complying with legal or regulatory requirements); and
 - (iv) others as permitted by, and for the purposes according to, your Data Privacy Notice.

You may keep my information for such period of time as you consider appropriate to comply with Applicable Requirements and may store my information locally or in Mainland China.

I acknowledge that I may, by contacting you through the channels prescribed in your Data Privacy Notice, exercise my rights in respect of my information. In respect of my information shared with the cooperating bank in Mainland China which opens my Onshore Remittance Account, I acknowledge that I may contact the cooperating bank in Mainland China through the channels disclosed on its website.

I understand that this clause is supplemental to and does not limit your rights to use, process and share my information for other purposes under the Integrated Account Terms and Conditions and the Data Privacy Notice.

12. *(Applicable to customers who apply for the WMC Services through attestation by the cooperating bank in Mainland China)*

I confirm that:

- a. the cooperating bank in Mainland China is authorised to act as my agent;
- b. I request and authorise you to:
 - (i) receive this Application Form and any document and information related to this application from the cooperating bank in Mainland China; and
 - (ii) deliver the relevant account opening document and information to me through the cooperating bank in Mainland China;
- c. I decided to make this application after independent consideration and evaluation, without any invitation, suggestion or request from any person or institution (including any member of the HSBC group, the cooperating bank in Mainland China and their staff members);
- d. you are not responsible for any loss, damage, delay, error or omission which may occur during, arising from or in connection with the delivery and/or receipt of the relevant documents to and from the cooperating bank in Mainland China or any retention of documents on my behalf;
- e. this application is subject to your approval and you may reject this application regardless of whether I have undertaken the application steps and/or provided the required information. If this application is rejected, you will destroy and will not return any document or information I submitted in relation to this application.

13. *(Applicable to the HSBC New Capital Investment Entrant Scheme Services (the "New CIES Services"))*

I have read and understand the Supplemental Terms and Conditions – New Capital Investment Entrant Scheme [<https://www.hsbc.com.hk/content/dam/hsbc/hk/docs/investments/products/new-capital-investment-entrant-scheme-supplemental-terms-and-conditions.pdf>], and the Integrated Account Terms and Conditions (if applicable), and agree to be governed by them. In particular, I understand and agree:

- a. all cash and assets deposited, purchased or transferred by me to the New CIES Account shall be deemed to be assets subject to the rules for the New Capital Investment Entrant Scheme (the "Scheme Rules");
- b. services provided to me by the Bank are limited to those permitted under the Scheme Rules, and therefore certain Integrated Account products and services may not be available in this account;
- c. I may be required to open an Integrated Account to enjoy products and services not contemplated by the Scheme Rules;
- d. I am solely responsible for all investment decisions under the Scheme Rules. The Bank has no responsibility in ensuring my compliance with the Scheme Rules or advising me in this regard;
- e. The Bank has no responsibility for any application submitted under the New Capital Investment Entrant Scheme or any outcome, decision or action by InvestHK and/or the Immigration Department;
- f. in the event of any conflict between the Supplemental Terms and Conditions – New Capital Investment Entrant Scheme and the Integrated Account Terms and Conditions, the Supplemental Terms and Conditions – New Capital Investment Entrant Scheme shall prevail; and
- g. in the event of any inconsistencies between the Integrated Account Terms and Conditions and the Scheme Rules in respect of the services rendered by the Bank, the Scheme Rules shall prevail.

Account Holder(s) Signature(s)**X**

Principal/Sole Account Holder

X

Joint Account Holder

For Bank Use Only - 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.

Signature

HKMA Registration Number:

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

Written Consent Received ☐ Yes

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

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.