

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\*1 滙豐金融外匯（亞洲）有限公司\*1  
 (“relevant HSBC Broking Companies” refers to any or all of the above companies with which the customer holds account(s))  
 （「相關滙豐金融公司」指客戶於上述任何或所有公司持有的戶口）  
 Level 25, HSBC Main Building, 1 Queen’s Road Central, Hong Kong  
 香港皇后大道中 1 號香港上海滙豐銀行總行大廈 25 樓

## Change of Relevant Person Information Instruction Form (Individual/Joint/Corporate Account)

### 更改有關人士資料指示表格（適用於個人／聯名／公司戶口）

- Note:** 1. Please complete in **Block Letters** and tick where applicable.  
**注意：** 請用**正楷**填寫，並在適當的地方加上剔號。
2. Please return your completed form either (1) by mail to "Level 25, HSBC Main Building, 1 Queen’s Road Central, Hong Kong", or (2) by visiting our office in person.  
 請將已填妥的表格（1）寄回香港皇后大道中 1 號香港上海滙豐銀行總行大廈 25 樓收，或（2）親身交回相關滙豐金融公司。

### Relevant Person Details and Effective Date of Change(s) (Must be Completed)

#### 有關人士資料及更改資料生效日期（必須填寫）

|                                 |  |   |    |
|---------------------------------|--|---|----|
| Full Name<br>全名                 |  |   |    |
| Account Number(s)<br>戶口號碼       |  |   |    |
| Relevant Person<br>有關人士         | Declare as an Individual<br>以個人申報      | <input type="checkbox"/> Authorised Representative to withdraw money and/or securities<br>授權提取款項及／或證券代表<br><input type="checkbox"/> Key Controller*2(Only applicable to Corporate Account)<br>主要管理人*2（只適用公司戶口）<br><input type="checkbox"/> Authorised Trader*3 授權交易人*3<br><input type="checkbox"/> Authorised Signatory (Only applicable to Corporate Account)<br>授權簽署人（只適用公司戶口）<br><input type="checkbox"/> Director*3 (Only applicable to Corporate Account) 董事*3（只適用公司戶口）<br><input type="checkbox"/> Beneficial Owner*3 (Only applicable to Corporate Account)<br>實益擁有人*3（只適用公司戶口）<br><input type="checkbox"/> Individual Guarantor 個人保證人<br><input type="checkbox"/> Others (Please specify) 其他（請註明）：_____ |    |
|                                 | Declare as a Body Corporate<br>以法人團體申報 | <input type="checkbox"/> Director (Only applicable to Corporate Account) 董事（只適用公司戶口）<br><input type="checkbox"/> Beneficial Owner (Only applicable to Corporate Account)<br>實益擁有人（只適用公司戶口）<br><input type="checkbox"/> Corporate Guarantor 公司保證人  |    |
| With effect from (date)<br>生效日期 | From                                   | <input type="text"/> / <input type="text"/> / <input type="text"/>  | 開始 |
|                                 |  | Day 日                      Month 月                      Year 年  |    |

\*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。

\*2 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 includes the Chief Executive Officer, Chief Financial Officer, Managing Partner and Chairman of the board of directors.

主要管理人是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。

\*3 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）。



**New Relevant Person Information (Complete only those details to be changed)**  
**有關人士資料更新 (只需填寫所需更改的資料)**

| 1. Contact Telephone Number<br>聯絡電話號碼<br>(For overseas number, please provide Country/Region Code and Area Code (if any))<br>(如海外號碼, 請提供國家/區域編號及地區編號 (如有)) |   | Country/Region Code<br>國家/區域編號 | Area Code<br>地區編號 | Number<br>電話號碼 |
|--|---|--------------------------------|-------------------|----------------|
| 2. Email Address<br>電子郵箱地址   |   |                                |                   |                |
| 3.1 Type of Address <sup>*4</sup><br>地址類別 <sup>*4</sup>  | <div style="display: flex; justify-content: space-between;"> <div data-bbox="480 589 716 712"> <input type="checkbox"/> Residential<sup>a</sup><br/>住宅<sup>a</sup> </div> <div data-bbox="778 589 922 712"> <input type="checkbox"/> Business<br/>辦公室                 </div> <div data-bbox="1042 589 1233 712"> <input type="checkbox"/> Correspondence<br/>通訊                 </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div data-bbox="480 663 716 712"> <input type="checkbox"/> Permanent<sup>a</sup><br/>永久<sup>a</sup> </div> <div data-bbox="778 663 1086 712"> <input type="checkbox"/> Principal Place of Business<sup>b</sup><br/>主要營業地址<sup>b</sup> </div> </div> <p data-bbox="480 734 1505 801">a. Please provide address proof dated within 3 months if the country/region of your Residential and/or Permanent Address (if different from Residential Address) has changed. 如更改住宅及/或永久地址 (如不同於住宅地址) 到其他地區/國家, 需提供三個月內所發出之有效地址證明。</p> <p data-bbox="480 813 1505 880">b. Please provide address proof dated within 3 months if you are a corporate shareholder, corporate director or corporate guarantor of the account holder and your Principal Place of Business Address has changed. 更改法人團體申報的公司股東/公司董事/公司保證人的主要營業地址, 需提供最近三個月內所發出之有效地址證明。</p> |                                |                   |                |

<sup>\*4</sup> Except correspondence address, PO Box is not accepted for other address type(s).  
除通訊地址外, 不接受郵政信箱用於其他地址類別。

|  |   |   |         |
|--|---|---|---------|
|  | Room/Flat 室   | Floor 樓   | Block 座 |
|  | Name of Building<br>大廈名稱  |   |         |
|  | Name of Estate<br>屋邨名稱  |   |         |
|  | Number and Name of Street/Road<br>門牌號碼及街道名稱   |   |         |
|  | District<br>地區  | (For Hong Kong address only) (只適用於香港地址)<br><input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Kowloon 九龍 <input type="checkbox"/> New Territories 新界  |         |
|  | Country/Region & Postal Code<br>國家/區域及郵區編碼  | (For overseas address only) (只適用於海外地址)  |         |
|  | Correspondence Address in Chinese<br>中文地址   | 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.<br>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>Note 注意：</p> <p>(For individual/joint account) Please note that Other Relevant Person(s) changing any of their addresses in our records to Korea will not be able to continue to enjoy our securities, futures, leveraged foreign exchange, or precious metals trading services.<br/>(指個人/聯名戶口) 請注意，若其他有關人士將其其在相關滙豐金融公司紀錄的任何地址更改為南韓地址，均不可繼續享用相關滙豐金融公司所提供的任何證券、期貨、外匯和貴金屬交易服務。</p> <p>(For individual/joint account) Please also note that for customers' Authorised Traders changing any of their addresses in our records to any jurisdictions outside Hong Kong SAR, mainland China, Singapore, Malaysia, Macau SAR, Jersey OR the Philippines, the relevant HSBC Broking Companies may only provide the following limited services: liquidation, withdrawal and/or transfer of investment holdings to another broker, and account maintenance services. Such customers' digital trading service may also be suspended starting from the effective date of change as indicated at the beginning of this form (the "Effective Date").<br/>(指個人/聯名戶口) 請注意，若客戶的授權交易人將其其在相關滙豐金融公司紀錄的地址更改為香港特別行政區、中國內地、新加坡、馬來西亞、澳門特別行政區、澤西、菲律賓以外地區地址，我們有可能僅能為客戶提供有限服務：進行平倉，提取及/或轉出證券至其他券商，以及一般戶口服務。客戶的網上交易服務亦有可能於資料更新生效日起被暫停使用。</p> <p>(For corporate account) Please also note that for customers' Authorised Traders changing any of their addresses in our records to any jurisdictions outside Hong Kong SAR or mainland China, the relevant HSBC Broking Companies may only provide the following limited services: liquidation, withdrawal and/or transfer of investment holdings to another broker, and account maintenance services. If the customers' digital trading service are applied by the Authorised Traders who are going to change their addresses, then their such digital trading service may also be suspended starting from the Effective Date.<br/>(指公司戶口) 請注意，若客戶的授權交易人將在相關滙豐金融公司紀錄的地址更改為香港特別行政區、中國內地以外地區地址，我們有可能僅能為您提供有限服務：進行平倉、提取及/或轉出證券至其他券商，以及一般戶口服務。如果客戶的網上交易服務是由該更改地址的授權交易人所申請，則其網上交易服務亦有可能於資料更新生效日起被暫停使用。</p> <p>For customers' Authorised Traders changing any of their addresses to jurisdictions in the European Union/European Economic Area/United Kingdom, the relevant HSBC Broking Companies may facilitate trading ONLY in respect of shares of companies listed on The Stock Exchange of Hong Kong Limited. However, with regards to such customers' investment in products other than the Eligible Equities, the relevant HSBC Broking Companies may only provide limited services. Such customers' digital trading service may also be suspended starting from the Effective Date.<br/>若客戶的授權交易人將其其在相關滙豐金融公司紀錄的地址更改為歐洲聯盟成員國/歐洲經濟區成員國/英國地址，我們有可能僅能為您提供於香港交易所上市之股本證券的買賣服務，對於客戶其他合資格股票以外的投資產品，相關滙豐金融公司只能提供有限服務。客戶的網上交易服務亦有可能於資料更新生效日起被暫停使用。</p> <p>If there are any changes in your tax residency status, relevant tax document(s) may be required by the HSBC Broking Companies.<br/>如閣下作為稅務居民之稅務管轄區有任何改變，相關滙豐金融公司有可能要求閣下提交有關之稅務文件。</p> |   |         |
| 3.2 Details of Address<br>地址資料   |   |   |         |
|  |   |   |         |
|  |   |   |         |
| 4. Identification Document Details <sup>*5</sup><br>身分證明文件資料 <sup>*5</sup> | Type 種類：<br><input type="checkbox"/> Hong Kong Identity Card 香港身分證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Other (Please state type of identification document): 其他 (請註明身份證明文件種類)：  |   |         |
|  | Number 號碼   |   |         |
|  | Place of Issue 簽發地  |   |         |
| 5. Nationality <sup>*5</sup> (Country/Region)<br>國籍 <sup>*5</sup> (國家/地區)  | Multiple Nationalities (Country/Region)<br>多重國籍 (國家/地區)   | <input type="checkbox"/> Add 新 _____  |         |
|  | <input type="checkbox"/> Yes 是<br><input type="checkbox"/> No 否   | <input type="checkbox"/> Change 更改 From 由： _____<br>To 至： _____   |         |

\*5 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。

|  |  |   |        |  |  |   |  |
|--|--|---|--------|--|--|---|--|
| Part A <b>(Please select one from Part A)</b><br>甲部 (請從甲部選擇一項)   |  | Part B <b>(Please select one from Part B) (if applicable)</b><br>乙部 (請從乙部選擇一項) (如適用)                                |        |  |  |   |  |
| <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 Employee 全職  |  | <input type="checkbox"/> i. Employee 僱員 <input type="checkbox"/> ii. Key Controller <sup>2</sup> 主要管理人 <sup>2</sup> |        |  |  |   |  |
| <input type="checkbox"/> c. Part-time Employee 兼職  |  | <input type="checkbox"/> i. Employee 僱員 <input type="checkbox"/> ii. Key Controller <sup>2</sup> 主要管理人 <sup>2</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   |  |   |        |  |  |   |  |
| <p><i>For Relevant Person who is self-employed, a full-time employee or Part-time employee, please also complete a to g below.</i><br/> <i>如有關人士職業狀況為自僱/全職/兼職，請繼續回答 a 至 g。</i></p> <p><i>For Relevant Person as the Key Controller<sup>2</sup>/Sole Trader or Business Owner, please also complete h to i below.</i><br/> <i>如有關人士為主要管理人<sup>2</sup>/獨資經營者/東主，請繼續回答 h 至 i。</i></p> |  |   |        |  |  |   |  |
| a. New Occupation 新職業  |  | b. New Job Title (if applicable) 新工作職位 (如適用)  |        |  |  |   |  |
| c. New Employment Start Date (if applicable) 新任職日期 (如適用)   | <table border="1"> <tr> <td>Month 月</td> <td>Year 年</td> </tr> <tr> <td>       </td> <td>       </td> </tr> </table> | Month 月   | Year 年 |  |  | d. Name of New Employer/Business 新僱主/公司名稱 |  |
| Month 月  | Year 年   |   |        |  |  |   |  |
|  |  |   |        |  |  |   |  |
| e. New Annual Income from Employment (HKD) 新工作年收入 (港幣)   |  |   |        |  |  |   |  |
| <input type="checkbox"/> HKD港幣0  |  | <input type="checkbox"/> HKD港幣1 – 500,000   |        |  |  |   |  |
| <input type="checkbox"/> HKD港幣500,001 – 1,000,000  |  | <input type="checkbox"/> HKD港幣1,000,001 – 2,000,000   |        |  |  |   |  |
| <input type="checkbox"/> HKD港幣2,000,001 – 3,000,000  |  | <input type="checkbox"/> HKD港幣>3,000,000  |        |  |  |   |  |
| f. New Employer/Business Industry 新僱主/公司業務<br>(Please select one that best describes your industry) (請選擇一項最能描述你的業務)  |  |   |        |  |  |   |  |
| <input type="checkbox"/> Amusement & Recreation Services 遊樂園及康樂活動  |  | <input type="checkbox"/> Manufacturing 製造   |        |  |  |   |  |
| <input type="checkbox"/> Business Services 商用服務  |  | <input type="checkbox"/> Personal/Household Services 個人/家居服務  |        |  |  |   |  |
| <input type="checkbox"/> Charity (Non-Governmental bodies) 慈善組織  |  | <input type="checkbox"/> Primary & Pre-primary Education 小學及學前教育  |        |  |  |   |  |
| <input type="checkbox"/> Communications 電訊   |  | <input type="checkbox"/> Public Services 公共服務   |        |  |  |   |  |
| <input type="checkbox"/> Construction 建築   |  | <input type="checkbox"/> Real Estate 地產   |        |  |  |   |  |
| <input type="checkbox"/> Engineering 工程  |  | <input type="checkbox"/> Restaurants 飲食   |        |  |  |   |  |
| <input type="checkbox"/> Finance/Insurance 金融/保險   |  | <input type="checkbox"/> Retail 零售  |        |  |  |   |  |
| <input type="checkbox"/> General Secondary Education 中學  |  | <input type="checkbox"/> Science and Technology 科學及資訊科技   |        |  |  |   |  |
| <input type="checkbox"/> Hairdressing & Beauty 理髮及美容   |  | <input type="checkbox"/> Sports Activities 體育活動   |        |  |  |   |  |
| <input type="checkbox"/> Health Care 醫療服務  |  | <input type="checkbox"/> Tech & Vocational Secondary Education 職業及專業教育  |        |  |  |   |  |
| <input type="checkbox"/> Higher Education & University 大學及專上課程   |  | <input type="checkbox"/> Transport 運輸   |        |  |  |   |  |
| <input type="checkbox"/> Hotel/Boarding Houses 酒店/旅館   |  | <input type="checkbox"/> Travel & Tourism 旅遊  |        |  |  |   |  |
| <input type="checkbox"/> Import/Export 出入口   |  | <input type="checkbox"/> Union & Organizations 工會/組織活動  |        |  |  |   |  |
| <input type="checkbox"/> Industrial 工業   |  | <input type="checkbox"/> Utilities (Electricity) 公用事業 (電力)  |        |  |  |   |  |
| <input type="checkbox"/> Legal 法律  |  | <input type="checkbox"/> Utilities (Gas) 公用事業 (煤氣)  |        |  |  |   |  |
| <input type="checkbox"/> Leisure & Entertainment 娛樂  |  | <input type="checkbox"/> Utilities (Water) 公用事業 (水務)  |        |  |  |   |  |
| <input type="checkbox"/> Logistics 物流  |  | <input type="checkbox"/> Wholesale 批發   |        |  |  |   |  |
| <input type="checkbox"/> Others (please specify) 其他 (請註明) :  |  |   |        |  |  |   |  |
| _____  |  |   |        |  |  |   |  |

6. Employment Status  
職業狀況

|   |   |         |                         |  |                 |
|---|---|---------|-------------------------|--|-----------------|
| 6. Employment Status<br>(Continued)<br>職業狀況 (續) | g. Details of New Business Address 新辦公室地址資料<br>(If you have already provided in previous field(s), it is not required to fill in this field)<br>(如已在上述其他部分提供, 則無須再填寫)                     |         |                         |  |                 |
|   | Room/Flat 室   | Floor 樓 | Block 座                 |  |                 |
|   | Name of Building<br>大廈名稱  |         |                         |  |                 |
|   | Name of Estate<br>屋邨名稱  |         |                         |  |                 |
|   | Number and Name of Street/Road<br>門牌號碼及街道名稱   |         |                         |  |                 |
|   | District<br>地區<br><i>(For Hong Kong address only)</i> (只適用於香港地址)<br><input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Kowloon 九龍 <input type="checkbox"/> New Territories 新界 |         |                         |  |                 |
|   | Country/Region & Postal Code<br>國家/區域及郵區編碼<br><i>(For overseas address only)</i> (只適用於海外地址)   |         |                         |  |                 |
|   | h. Business Main Location<br>業務主要地區   | City 城市 | Country/Region<br>國家/地區 | i. Business Earnings in the last financial year<br>上個財政年度的業務收益 | HKD 港幣<br>_____ |
| 7. Other Information to be updated<br>其他資料需求更新  |   |         |                         |  |                 |

## Customer Declaration 客戶聲明

### Note 注意：

1. I/We represent and warrant that the information provided herein and any supporting documents presented to the relevant HSBC Broking Companies are true, complete and accurate. The relevant HSBC Broking Companies are entitled to rely fully on such information for all purposes and I/we authorise the relevant HSBC Broking Companies to verify the same from any source it may deem fit. I/We also undertake to notify the relevant HSBC Broking Companies promptly of any changes to such information and supporting documents.

本人／本人等謹在此聲明及保證在本文所提供的資料及向相關滙豐金融公司所呈交的任何證明文件是真實、完整及正確。相關滙豐金融公司有權完全依賴該資料及本人／本人等授權相關滙豐金融公司透過任何視為適合的來源去核對該資料。本人／本人等亦承諾會盡快通知相關滙豐金融公司有關該資料及證明文件的任何變更。

2. (For corporate account) We confirm and warrant that we have obtained/will obtain the express and prescribed consent of every person (whose personal data has been provided by us) to the transfer and use of his/her personal data in accordance with the Personal Data (Privacy) Ordinance (the "Notice"). We agree that we will indemnify and hold the relevant HSBC Broking Companies harmless from all costs, penalties, damages and losses incurred as a result of this warranty being untrue and any other breach of this warranty. A copy of the Notice can be obtained upon request or by downloading it from the "Privacy and Security" section in HSBC Broking Companies' public website.

(指公司戶口) 本人等確認並保證本人等已獲得／會獲得各人(指在此提供個人資料本人等)的明確及受規定的同意根據列載於《關於個人資料(私隱)條例的通知》(簡稱「通知」)之用途以轉移及使用他／她的個人資料。本人等同意,就本人等因本保證之不真實及對本保證的任何其他違反而導致的成本、處罰、損害、損失,向相關滙豐金融公司予以賠償,並使其免受損失。歡迎索取「通知」之副本或於相關滙豐金融公司網站內私隱與保安部分下載。

## Signature and Other Information 簽署及其他資料

Signature of Authorised Representative to withdraw money and/or securities/Authorised Signatory/Authorised Trader/Director<sup>\*6</sup>/Individual Guarantor/Key Controller<sup>\*6</sup>/Beneficial Owner<sup>\*6</sup>/Other Relevant Person/Authorised Signatory(ies) of the Corporate Guarantor with Company Chop/Authorised Signatory(ies) with company chop

授權提取款項及／或證券代表／授權簽署人／授權交易人／董事<sup>\*6</sup>／個人保證人／主要管理人<sup>\*6</sup>／實益擁有人<sup>\*6</sup>／其他有關人士簽署／公司保證人授權簽署人簽署及公司蓋印／授權簽署人簽署及公司蓋印

X

Date:

日期：

For and on behalf of (company name):

代表(填入公司名稱)：

Note: The English text shall prevail in the event of any inconsistency between the English and Chinese versions of this Change of Relevant Person Information Instruction Form.

註：中英文本如有任何歧義，概以英文本為準。

<sup>\*6</sup> To be signed by Authorised Representative/Authorised Signer if the Key controller/Beneficial Owner/Director is a Body Corporate.  
如果主要管理人／實益擁有人／董事是法人團體，請由授權代表／授權簽署人簽署。