

HSBC Broking Services (Asia) Limited 滙豐金融服務（亞洲）有限公司  
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

**Points to Note for Non Face-to-face Account Opening**  
**(Corporate Account – Certification Approach for Companies Operated in Mainland China)**  
**非親身開設戶口注意事項**  
**(公司戶口 - 適用於在中國內地營運的公司的認證方式)**

This document provides further details on the non face-to-face account opening process, including guidance on some of the documents and information required. 此文件提供更多非親身開設戶口的資料，包括對部分所需文件及資料的注意事項。

General guidance

一般注意事項

1. Please do not send us the originals of your identity documents. All documents submitted to us will not be returned.  
請不要遞交任何正本的身份證明文件，所有遞交的文件將不會退回。
2. Please ensure that you date (where applicable) and sign all forms and agreements before returning them to us.  
寄回文件及合約前，請確保每份文件填上簽署日期（如需要）及已簽署所有表格及合約。
3. Please initial next to any changes you make to any pre-filled information in any form or agreement.  
如有刪改任何表格或合約上預先填上的資料，請於刪改之位置旁簽署。
4. We do not accept any changes to the terms of the Customer Agreement or Terms of Business.  
我們不接受任何對客戶合約或商業條款內條款的更改。
5. Please ensure all copies of documents (including the Customer Agreement) are certified by a qualified person approved by the Securities and Futures Commission (“SFC”), such as a lawyer or certified public accountant (“CPA”) regulated by and subject to the supervision of the relevant institute in mainland China. Please also provide a certified copy of the proof of such qualified person’s professional capacity for certification, such as the lawyer’s practicing certificate or the CPA certificate in mainland China (item 8 under Mandatory Account Documentation in the Documentation Checklist).  
請確保所有副本文件（包括客戶合約）必須經由證券及期貨事務監察委員會（「證監會」）認可的有資格人仕認證（例如：中國內地律師或執業會計師）。請同時提供該作為認可認證人士之專業資格證明的認證副本（例如：中國內地律師執照或中國執業會計師證書）（文件清單中必須提供的文件第8項）。
6. If needed, we may request additional information and documents during the account opening process.  
如有需要，我們可能會在開戶過程中要求提供更多資料及文件。
7. We are only able to accept instructions to withdraw funds to an Account Holder’s HSBC bank account. We call this your “Designated Bank Account”. If you would like to change your Designated Bank Account, please contact your Relationship Manager after your account with us is opened.  
我們只接受向戶口持有人的香港上海滙豐銀行戶口付款的指示。我們稱之為你的「指定銀行戶口」。如你想更改指定銀行戶口，可於你的滙豐金融戶口成功開立後與客戶經理聯絡。
8. If you have any questions about the information and documents required or how to complete certain forms, please contact your Relationship Manager.  
如你對所需資料和文件或如何填寫某些表格有任何查詢，請與客戶經理聯絡。

Document-specific guidance

文件特別注意事項

**IMPORTANT:** Please note that we only include guidance below for some of the documents and information. For complete list of documents required for the non face-to-face account opening, please refer to the Documentation Checklist.

注意：我們僅在下文中就部分所需文件及資料列出注意事項。有關非親身開設戶口所需文件及資料的完整清單，請參見文件清單。

1. Certified copy of liquid asset proof of HKD1 million or above (item 2 under Mandatory Account Documentation in the Documentation Checklist)  
港幣一百萬元或以上流動資產證明的認證副本（文件清單中必須提供的文件第2項）

When providing bank and/or brokerage statements from HSBC or other financial institutions to prove your liquid assets, please ensure that these statements are issued within the last 3 months.

當你提供滙豐或其他金融機構的銀行及／或經紀行結單，以證明你的流動資產時，請確保該等結單在最近三個月內發出。

2. Certified copy of identification document(s) of all beneficial owner(s)<sup>1</sup>, guarantor(s), Authorised Trader(s), Authorised Signatory(ies), director(s), authorised representative(s) to withdraw money and/or securities, and key controller(s)<sup>2</sup> (together referred to as "Relevant Person") (item 13 under Mandatory Account Documentation in the Documentation Checklist)

實益擁有人、保證人、授權交易人、授權簽署人、董事、授權提取款項及／或證券代表、及主要管理人（統稱「有關人士」）的身份證明文件（認證副本）（文件清單中必須提供的文件第13項）

- a) If the Relevant Person is a Hong Kong permanent resident, please provide a certified copy of Hong Kong permanent identity card of such person.

如有關人士是香港永久性居民，請提供該人士的香港永久性身份證的認證副本。

- b) If the Relevant Person is a mainland China resident, please provide a certified copy of the People's Republic of China resident identity card and valid mainland China passport of such person.

如有關人士是中國內地居民，請提供該人士的中華人民共和國居民身份證及有效中國內地旅遊護照的認證副本。

- c) If the Relevant Person does not either hold a Hong Kong permanent identity card nor a People's Republic of China resident identity card and/or valid mainland China passport, please provide a certified copy of valid passport of such person(s).

如有關人士既非持有香港永久性身份證，亦非持有中華人民共和國居民身份證及／或有效中國內地旅遊護照，請提供該等人士的有效旅遊護照的認證副本。

- d) If the Relevant Person is a legal person (such as a corporate guarantor), please provide the certified copies of the Certificate of Incorporation or equivalent incorporation or establishment document and valid Business Registration Certificate (if applicable) of such legal person.

如有關人士為法人，請提供其公司註冊證書或同等註冊及／或成立文件，及有效商業登記證（如適用）的認證副本。

3. HSBC Bank Account Information in the name of the Account Holder(s) (such as a certified copied of the latest HSBC bank statement issued within the last 3 months) (item 14 under Mandatory Account Documentation in the Documentation Checklist)

載有戶口持有人姓名的香港上海滙豐銀行戶口資料（例如：最近三個月內發出的香港上海滙豐銀行銀行戶口結單）（文件清單中必須提供的文件第14項）

4. Latest audited financial statement of the company in the name of the Account Holder (item 15 under Mandatory Account Documentation in the Documentation Checklist)

最近經審核載有戶口持有人名稱的公司財務報表（文件清單中必須提供的文件第15項）

If this document is unavailable, please provide either (i) the latest management accounts; or (ii) the latest audited statements/management accounts of its parent company; or (iii) the bank account statements in the name of the Account Holder issued by the last consecutive 3 months.

如未能提供，請提供（i）最近的管理會計報告；或（ii）其母公司最近經審核的財務報表／管理會計報告；或（iii）載有戶口持有人名稱的公司最近連續三個月的銀行結單。

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<sup>1</sup> "Beneficial owner" means an individual who ultimately has a controlling ownership interest of the corporation (ie more than 10% of the issued share capital of the corporation); or an individual who is entitled to exercise control over the management of the corporation. If no natural person exercises control over an entity, the individual holding the position of senior managing official shall provide his/her identification document(s).

「實益擁有人」是指最終擁有該法團的控制股權（即該法團已發行股本的 10%以上）的個人；或有權行使對該法團的管理最終的控制權的個人。如行使控制股權的並非自然人，該法人實體的高級管理人員需提供身份證明文件。

<sup>2</sup> "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。

5. Certified copy of residential address proof (and permanent address proof if different) of all guarantor(s) and beneficial owner(s) (item 16 under Mandatory Account Documentation in the Documentation Checklist)  
所有保證人及實益擁有人的住宅地址證明（及永久地址證明如不同）（文件清單中必須提供的文件第16項）

Please provide valid address proof such as utility bills, correspondence from a Government department/ agency or mobile phone or pay TV statement issued within the last 3 months.

請提供最近三個月內發出的有效位址證明，例如公用事業賬單、政府部門或機構信函或手提電話或收費電視結單。

6. Written consent from employer (item 18 under Mandatory Documentation in the Documentation Checklist)  
僱主同意書（文件清單中必須提供的文件第 18 項）

If any beneficial owner(s), individual guarantor(s), Authorised Trader(s), Authorised Signatory(ies), director(s), authorised representative(s) to withdraw money and/or securities, and key controller(s) is a regulated person, including (i) licensed representative or responsible officer of a licensed corporation; (ii) a relevant individual or executive officer of a registered institution; (iii) an employee of a licensed corporation or registered institution; or (iv) an employee of HSBC Global Services (Hong Kong) Limited, the Account Holder must provide written consent from such person's employer.<sup>3</sup>

如任何實益擁有人、個人保證人、授權交易人、授權簽署人、董事、授權提取款項及／或證券代表、及主要管理人現時為受規管人士，包括（i）持牌人士／負責人員；或（ii）受聘於任何註冊機構並出任為相關／行政人員；或（iii）受聘於任何持牌／註冊機構之僱員；或（iv）受聘於 HSBC Global Services (Hong Kong) Limited 之僱員，戶口持有人必須提供該人士的僱主所發出的同意書。

7. Company ownership structure chart verified by director (item 19 under Mandatory Documentation in the Documentation Checklist)  
經董事認證之公司架構圖（文件清單中必須提供的文件第 19 項）

For a company with more than one layer of ownership, please provide a company ownership structure chart that has been verified by a director. The structure chart should (1) identify any intermediate layers by showing the chain of ownership to the individual ultimate beneficial owner(s), and (2) specify the name(s) and place(s) of incorporation of all companies in the intermediate layer(s) of ownership. 如公司有多於一層架構，請提供由一位董事認證的經認證的公司架構圖。該架構圖須（1）顯示與個別最終實益擁有人之間的關係，以識別任何中介層，及（2）指出中介層之法團股東的公司名稱及成立國家/地區。

8. SFC Investor Characterisation – In-house Training Record (item 9 under supplementary documents for additional services in the Documentation Checklist)  
投資者分類 – 培訓紀錄（文件清單中其他服務額外文件第 9 項）

Each Authorised Trader who wishes to trade in derivatives may attend the video training on derivatives and sign the confirmation on the In-house Training Record. The in-house training on derivatives could be completed through watching the video clip “knowledge of derivatives products” on our website at <https://www.hsbc.com.hk/broking/investments/derivatives>.

每位授權交易人如欲進行衍生工具產品交易，可接受衍生產品的影像培訓並簽署確認培訓紀錄。衍生產品的內部培訓可透過觀看滙豐金融網站（<https://www.hsbc.com.hk/zh-hk/broking/investments/derivatives/>）上的「衍生產品知識」影片完成。

**\*\* Authorised Trader(s) can also provide other supporting evidence on knowledge of derivatives. Please refer to item 10 of under supplementary documents for additional services in the Documentation Checklist.**

授權交易人亦可以提供其他衍生工具產品知識的證明文件。詳情請參閱文件清單中其他服務額外文件第 10 項。

Note: The English version shall prevail in the event of any inconsistency between the English and Chinese versions.

註：中英文本如有任何歧義，概以英文本為準。

<sup>3</sup> Note: In this document, references to “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). References to “relevant individual” and “executive officer” have the meanings set out in the Banking Ordinance (Cap. 155, Laws of Hong Kong).

註：有關於此文件中提及「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）。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）。