



PICS 2017Feb (CRS)

Policy Number* 保單號碼*	<b>LifInvest Protection Plan (10 years Maximiser) – Application for Fund Transfer / Fund Withdrawal / Surrender</b> 投資人壽保障計劃(10年躍富) – 基金轉調/基金提取/退保申請																																																																																																					
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NOTE 注意：

- \* Please mark X in the appropriate boxes to indicate the policy number.** 請在適當的方格內加上 X 以註明保單號碼。
- Please submit the identity copy for fund withdrawal or surrender application.** 申請基金提取或退保，請提交證件副本。
- Please put a ✓ in the appropriate box(es) and complete in BLOCK LETTERS.** 請在適當方格內加上✓號，並用正楷填寫。
- All fund redemptions and fund transfers will be calculated based on the actual price available on a transaction date on or as soon as practicable following the date we receive the request or, where applicable, the time at which you have requested the surrender to occur.** 所有基金贖回及基金轉調將會以本公司接獲閣下申請後的交易日之實際基金價格計算，或盡快在接獲申請後的任何一個交易日之價格計算，或(如適用)於閣下申請的退保執行時間之價格計算。
- All percentage specified in the change request must be in whole figure.** 於本申請內所填寫之百分比須為整數。
- Please confirm your instruction by signing on page 9 of the form.** 請於表格第9頁簽署以確認申請。
- If the payments are paid in currencies other than the policy currencies/currency of levy cap i.e. HKD as provided by the Insurance Authority, the payments would be subject to change according to the prevailing exchange rate of policy currencies/HKD to payment currencies to be determined by the Company from time to time. Likewise any payments settled in currencies other than the policy currencies/currency of levy cap i.e. HKD, the payments would be subject to the change according to the prevailing exchange rate of policy currencies/HKD to payment currencies to be determined by the Company from time to time. The fluctuation in exchange rates may have impact on the amount of payments including but not limited to premium payments, levy payments and benefit payments. By choosing the plans denominated in currencies other than local currency, you are subject to the exchange rate risks. Exchange rate fluctuates from time to time. You may suffer a loss of your benefit values and the subsequent premium payments and/or levy payments (if any) may be higher than your initial premium payment as a result of the exchange rate fluctuations.** 如繳付款項貨幣有別於保單貨幣或保險業監管局訂定徵費上限的貨幣(即港幣)，該款項可能會受本公司不時釐定的保單貨幣/港幣對繳付款項貨幣的匯率而改變。同樣，如任何款項的貨幣不是以保單貨幣或保險業監管局訂定徵費上限的貨幣(即港幣)支付，該款項將會受本公司不時釐定的保單貨幣對支付貨幣/港幣的匯率而改變。匯率之波動會對款額構成影響，包括但不限於以繳付保費，保費徵費及利益支付款項。選擇非本地貨幣結算的保單，閣下須承受匯率風險。匯率會不時波動，閣下可能因匯率之波動而損失部分的利益價值及繳交住後保費及/或保費徵費(如有)可能會比繳交首次保費及保費徵費金額為高。
- The Bank has explained the product features to you including potential liquidity, time horizon, any currency implications, fees & charges and ongoing charges related to the product(s) where applicable.** 滙豐已向閣下解釋產品特性，包括有關流動性、年期和任何貨幣的潛在影響、收費及產品的經常費用。
- To comply with the Foreign Account Tax Compliance Act (FATCA) regulations issued by the United States Department of the Treasury and Internal Revenue Service (IRS), we are required to establish the status of policyholder and connected person (including entities/companies) that is entitled to access the contract's value or change a beneficiary under the contract. If there is any update in information concerning these parties, you are required to provide the supporting documents.** 為符合由美國財政部和國稅局(IRS)發出的海外賬戶稅務合規法案(FATCA)的規定，我們需要向保單持有人及關連人士(包括機構或公司)在保單上有權獲得保險合約的現金價值或更改受益人以作識別及分類。若該等人士有任何資料更新，閣下需按表要求提供相關核實證明。
- (For personal customer) Is there any change in personal details since the policy was issued? Yes/No, if Yes, please complete the [Request for Policy Change – Non-financial].** (適用於個人客戶)由保單生效至今，個人資料有否轉變?如有，請填寫「更改保單申請表」。

## Section I 第一部分

### Fund Withdrawal 基金提取

- a) The minimum amount to be withdrawn is USD500.00. If the requested amount falls below the minimum cap, the amount of USD500.00 would be withdrawn. 最低提取金額為美元 500.00，若是次提取金額低於下限，有關金額自動調整至美元 500.00。
- b) Any withdrawal amount within the first 5 years exceeding the Free Withdrawal Amount is subject to withdrawal charges, and the charge would be deducted from the gross amount withdrawn. Free Withdrawal Amount is the greater of 10% of the Single Premium reduced by 100% of all prior withdrawals in that Policy Year, which is subject to a maximum of 30% or the Cash Value on the date of withdrawal less (Single Premium – Previous Unfree Withdrawal). Details of the charges are listed in the policy provisions. 於保單生效 5 年內提取多於「免費提款額」之基金價值，本公司將收取手續費，並於提款金額內扣除。免費提款額為以下的較大者：整付保費的 10% 減除任何在該保單年度所有已提款金額的 100%、整付保費的 30% 為上限；或提款當日的現金值減除（整付保費 – 過往非免費提款額）。有關手續費詳細資料，請參閱保單條款。
- c) If the remaining balance after the withdrawal is less than USD2,000.00, unless specified, the withdrawal request would be canceled. 若於提取基金價值後之基金結餘少於美元 2,000.00，如非特別註明，是次基金提取申請將被撤消。
- I, hereby, agree to regard the said request as full surrender if the remaining balance after the withdrawal is less than USD2,000.00. 若於提取基金價值後之基金結餘少於美元 2,000.00，本人同意是次申請為退保申請。
- d) Please take into account any instructions in process when submitting new instructions for fund withdrawal. Any new instructions submitted will be processed on the next transaction date after the dealing of the former one is completed. 當閣下遞交新的基金提取指示時，閣下應考慮有關已遞交的指示尚未完成。新遞交的指示將於上一個交易完成後，由該日期起計之下一個基金交易日處理。

Withdrawal from the total fund balance\* 由總基金價值提取\* : USD 美元 \_\_\_\_\_ (min. USD500.00 最低金額為美元 500.00)

\* Withdrawals must be taken proportionately from all Funds based upon Cash Value of each Fund. 提取款項必須按當時各基金現金值的比例提取。

## Section II 第二部分

### Surrender 退保申請

#### Confirmation of Surrender of LifeInvest Protection Plan (10 years Maximiser) 投資人壽保障計劃(10年躍富)的退保確認

I have been reminded that if I retain my policy until the end of the tenth policy year, it will continue to provide the benefit of potential performance of the underlying investment funds selected or a significant guaranteed return. 本人已被提醒若本人保留本人之保單至第十(10)個保單年度結束，保單將繼續根據所選的相關投資基金的表現潛質提供賠償/利益或重大保證回報。

The above-mentioned investment guarantee will be available at the end of the tenth policy year. At that time, if the policy is still in-force, the guaranteed cash value of the policy will be the greater of (subject to adjustment if any withdrawals have occurred): 上述投資保證將於第十(10)個保單年度結束時提供。若保單當時依然生效，保單的保證現金價值將為以下款項(以較高者為準，並將根據任何已提取基金而調整)：

- a) 120% of my initial premium (i.e. 15% further upside from the fifth policy anniversary guarantee); or 本人之首期保費的 120% (即第五(5)個保單周年日之保證加額外 15%)；或
- b) the highest of the amounts held to my credit under the policy at each of the ten policy anniversaries. 本人於該十年內每一個保單周年日所持的本保單的價值中之最高的價值。

I have read and understood the above regarding the guaranteed benefit available at the tenth policy anniversary and would like to proceed with a request to surrender this policy. 本人已閱讀及明白上述有關於第十(10)個保單周年日提供的保證賠償/利益的事項，並希望繼續執行本保單的退保申請。

I would like to surrender my policy **immediately** without the above mentioned guaranteed return being applied. 本人希望於不獲提供上述保證回報的情況下立即執行本人之保單的退保。

I would like to surrender my policy **after the tenth policy anniversary guaranteed return has been applied**. I understand the surrender proceeds are subject to market volatility affecting the relevant fund value between the 10th Policy Anniversary Date and the surrender transaction date, as well as applicable fees (if any) so it may be higher or lower than the guaranteed return. 本人希望於已獲提供第十(10)個保單周年日之保證回報後執行本人之保單的退保。本人明白退保價值可能會因在第十個保單周年日及退保交易日之間的市場波動及收費(如有)而作出調整，最終價值可高於或低於保證回報。

[Please note that surrender under this box will only be accepted by us if this form is received by us no more than 90 days before the tenth policy anniversary.] [請注意本公司只會在本公司於第十(10)個保單周年日前不多於九十(90)天內接獲本表格的情況下接受此方格之退保申請。]

\* Surrender is subject to surrender charge (if applicable), and the charge would be deducted from the amount payable. Details of the charges are listed in the provisions. 退保時本公司將收取退保費用(如適用)，並於給付金額中內扣除。有關手續詳細資料，請參閱保單條款。

I understand and agree that the payment of the Cash Value will be made in accordance with policy terms and conditions and that HSBC Life (International) Limited shall be discharged of all liabilities upon such payment. 本人同意及明白現金價值將按照保單條款發還，滙豐人壽保險(國際)有限公司一旦支付退款後，即獲免除其對上述保單之責任。

Original Policy is attached 現附上保單文件正本

I declare that my policy has been lost or damaged 本人謹此聲明保單文件已經遺失或損毀

#### Reason for Policy Surrender/Cancellation 退保/取消原因

Please indicate your reason(s) for surrender by putting a '✓' in the appropriate box(es):

請於下列適當空格內加✓說明退保原因(可作多項選擇)：

1. (PE) Expiration of promotional offer  
推廣優惠已經完結
2. (LS) Insufficient after-sales service  
售後服務未如理想
3. (RE) Returns below expectations  
保單回報未如理想
4. (PH) High insurance premium  
保費太昂貴
5. (CR) My policy has been replaced by other HSBC policy  
本人的保單已被另一份滙豐保單取代
6. (RP) I will/have sign(ed) up another life insurance policy with  
本人將/已經與下列保險公司簽訂另一份人壽保險計劃：\_\_\_\_\_
7. (OI) Funds used to purchase other investment products  
資金已用作購買其他投資產品
8. (NC) Changes of my insurance needs (e.g. mortgage is paid off, needs of family financial protection have changed)  
我的保險需求有所改變(例如：已還清樓宇按揭貸款、需要的家庭財務保障已更改)
9. (FO) Family Objection  
家人反對
10. (FS) Change in family financial situation, which affects the regular premium contributions  
家庭經濟狀況改變，影響供款
11. (PD) Permanent departure from Hong Kong  
將永久離開香港
12. (UM) Urgent need of money  
急需用錢
13. (MS) Others (please specify below)  
其他理由，請於下列說明：\_\_\_\_\_

## Section II (cont'd) 第二部分(續)

### NOTE 注意：

Life insurance involves a longer policy period. You will normally suffer losses if you surrender an existing life insurance policy ("Policy Surrender") or replace your existing life insurance policy by another life insurance policy ("Replacement"), particularly during the early years of the policy period. To protect your interest, you should carefully consider and assess whether the Policy Surrender or Replacement is of your best interests before making a decision. You may also contact our staff to further understand the details of any real and potential disadvantages of surrender or replacing your existing life insurance policy(ies). 人壽保險涉及年期較長。如果投保人中途退保(「退保」)或以另外一份人壽保險保單取代現有的人壽保險保單(「轉保」)，特別是在保單生效後首數年，通常會蒙受損失。為保障本身的利益，閣下在決定退保或轉保前，應仔細考慮及衡量是否符合本身的最佳利益。閣下亦可與我們職員聯絡以進一步了解因退保或轉保引致的任何實質及潛在損失。

To protect your interest, if your policy(ies) is/are replaced or intended to be replaced by another life insurance policy in last or next 12 months period, we would recommend you to complete a Customer Protection Declaration Form to understand the financial and other implications of changing your existing insurance arrangement. 如閣下的保單於未來或過去 12 個月將或已被其他人壽保險保單取代，我們建議閣下先填寫客戶保障聲明書以了解改動現有保險安排所導致的財務及其他影響。

1. Do you have any life insurance policy(ies) issued in the past 12 months or intend to apply a new life insurance policy in the next 12 months? 閣下是否持有於過去 12 個月內簽發的人壽保險保單或考慮於未來 12 個月投保新的人壽保險保單？

- No 否 (Please skip question 2 請毋須回答問題 2)  
 Yes 是 (Please answer question 2 請回答問題 2)

2. To protect your interest, we would like to invite you to complete a Customer Protection Declaration Form to understand the financial and other implications of changing your existing insurance arrangement. Do you agree? 為保障閣下的利益，我們誠邀閣下填寫客戶保障聲明書，以了解改動現有保險安排所導致的財務及其他影響。請問閣下是否同意？

- No, I confirm that I do not wish to complete the Customer Protection Declaration Form. 否，本人確認毋須填寫客戶保障聲明書。  
 Yes, I have completed and submitted the Customer Protection Declaration Form together with this form and understand the consequences of this surrender request\*, please proceed to process this request. 是，本人明白退保的影響及已完成客戶保障聲明書並連同本表格一併附上\*，請為本人辦理退保申請。

\*Please note we will only process your request upon receipt of this form and the Customer Protection Declaration Form in originals, as duly completed. 請注意，我們將僅在收妥已完成的退保申請表格及客戶保障聲明書的正本後才能辦理有關申請。

## Section III 第三部分

### Payment Instruction 發還退款指示

- Payment Currency 收款貨幣  
 HKD 港幣  
 USD 美金

- By Bank Account 經銀行戶口  
 Transfer to the policyholder's premium deduction account (not applicable if the bank account is held by someone other than the policyholder's sole or joint name.) 轉賬至保單持有人之保費轉帳戶口(不適用於非保單持有人之個人或聯名銀行戶口。)  
 Transfer to the policyholder's any other bank account^ (Not applicable if the bank account is held by someone other than the policyholder's sole or joint name) 轉賬至保單持有人之任何其他銀行戶口^(不適用於非保單持有人之個人或聯名銀行戶口。)

Bank Name and Branch 銀行及分行之名稱	Bank No. 銀行編號	Branch No. 分行編號	Account No. 賬戶號碼

- By cheque 以支票形式  
Please 請把支票  
 Mail the cheque to the Policyholder's correspondence address 請寄往保單持有人之通訊地址  
If Policyholder's correspondence address need to be updated, please submit "Request for Policy Change — Non Financial" form to the Company. 如需更新保單持有人之通訊地址，請提交「更改保單申請表」。

### Notes 注：

^ If no identity verification has been performed by Bank staff for this request, please also submit adequate proof showing the policyholder's full name and the bank account number (such as copy of bank book, ATM card, bank statement etc) to the company. If we do not receive the copy of the required document(s), the payment will be made by cheque payable to the policyholder and mailed to the policyholder's correspondence address. 如此申請並沒經由銀行職員作出身份核實，請同時提交印有保單持有人全名及銀行戶口號碼之充足證明(如銀行存摺或自動櫃員機卡或月結單副本等)。若閣下沒有提供上述所需文件，退款將以支票形式寄予保單持有人之通訊地址。

## Section IV 第四部分

Your risk tolerance level and the risk rating of the product/fund (investment choice) are important information to help you assess whether the product/fund (investment choice) is suitable for you. Please ensure that your risk profiling questionnaire was completed within the past 12 months and that the risk rating of the product/fund (investment choice) you intend to subscribe is at or below your risk tolerance level. A product/fund (investment choice) with risk level higher than your risk tolerance level may not be suitable for you. If you have any doubts about the suitability of the product/fund (investment choice), please contact us to obtain further information about the product/fund (investment choice) before subscribing. 您應根據您的投資風險取向和產品/基金(投資選擇)的風險級數評估產品/基金(投資選擇)是否適合您。請確保您的投資風險取向評估是過去12個月內完成，及產品/基金(投資選擇)的風險評級等於或低於您的投資風險取向。如產品/基金(投資選擇)風險級數高於您的投資風險取向，該產品/基金(投資選擇)可能不適合您。如果您對產品/基金(投資選擇)是否適合您有疑問，請於進行交易前聯絡我們以獲取產品/基金(投資選擇)的詳細資料。

### □ Transfer of Funds 基金轉調

Transfer of funds is transfer of existing fund balance from individual fund to another in terms of percentage, and the source fund(s) is/are to be transferred to the target fund(s) on lump sum basis. If no specific fund balance is marked for the source/target fund, it is presumed that the 100% of the fund value(s) concern(s). A maximum of 14 funds can be selected. 基金轉調是把現有基金結餘按百分比從個別基金轉調至其他基金。所選之基金將以全數轉調至指定之目標基金。若基金轉調之基金價值並沒詳細列明，將視作為有關基金之100%。最多可選擇14種基金。

Minimum amount for fund switch is USD500.00. If the requested amount falls below the minimum cap, the amount of USD500.00 would be switched. Please note that this minimum requirement does not apply to fund balance arising from dividend declaration. 最低轉調金額為美元500.00。若是次轉調之金額低於下限，有關金額自動調整至美元500.00。請注意此轉調金額下限並不適用於由派發股息所得之基金結餘。

**No transfer to the "Restricted Fund(s)" is allowed after policy issue even if initial allocation to the said fund(s) is less than 10% of the single premium amount. However, switching from "Restricted Funds" to another "Restricted Funds" not involving additional deposit or switching from "Restricted Fund(s)" to "Non-restricted Fund(s)" are allowed but not vice versa.** 於保單生效後，即使原來於「限制基金」內的基金分配低於整付保費10%之上限，本公司將不接納任何基金轉調至「限制基金」。惟由「限制基金」轉調至其他「限制基金」或由「限制基金」轉調至「非限制基金」，其申請可被接納。請注意，後者申請一經批核後，將不能取消。

Please take into account any instructions in process when submitting new instructions for transfer of funds. Any new instructions submitted will be processed on the next transaction date after the dealing of the former one is completed. 當閣下遞交新的基金轉調指示時，閣下應考慮有關已遞交的指示尚未完成。新遞交的指示將於上一個交易完成後，由該日期起計之下一個基金交易日處理。

Remark 註: <sup>A</sup> Not eligible for policy with application date on or after 3 March 2008 不適用於在2008年3月3日當日或以後申請之保單

<sup>B</sup> This fund is no longer applicable to money switch-in with effect from 23 September 2010. 由2010年9月23日起，投資轉調至此基金已不再適用。

<sup>C</sup> Only eligible for policy with application date on or before 1 March 2008 只適用於在2008年3月1日當日或以前申請之保單

<sup>D</sup> Only eligible for policy with application date on or after 3 March 2008 只適用於在2008年3月3日當日或以後申請之保單

<sup>1</sup> The said fund has replaced HSBC GIF Global Emerging Markets Equity Freestyle Fund (054K) with effect from 12 February 2010 此基金已於2010年2月12日取替滙豐環球新興市場股票動力基金(054K)

<sup>2</sup> Effective from 9 July 2010, "Fidelity Funds - Asia Pacific Dividend Fund" has been renamed from "Fidelity Funds - Asia Pacific Growth and Income Fund". 由2010年7月9日起，「富達基金 - 亞太股息增長基金」已易名為「富達基金 - 富達亞太股息基金」。

<sup>3</sup> Effective from 30 September 2010, the Chinese name of "Fidelity Funds - Asia Pacific Dividend Fund" has been renamed while its English name remains unchanged. 另由2010年9月30日起，「富達基金 - 富達亞太股息基金」之中文名稱已易名為「富達基金 - 亞太股息基金」，而其英文名稱則維持不變。

<sup>4</sup> The said fund has replaced BlackRock Global Fundamental Value Fund (062K) with effect from 27 June 2008 此基金已於2008年6月27日取替貝萊德環球基本價值型基金(062K)

<sup>5</sup> Effective from 14 February 2014, "BlackRock Japan Flexible Equity Fund" has been renamed from "BlackRock Japan Value Fund". 由2014年2月14日起，「貝萊德日本價值型基金」已易名為「貝萊德日本靈活股票基金」。

<sup>6</sup> Effective from 1 June 2011, the Chinese name of this fund has been renamed while its English name remains unchanged. 由2011年6月1日起，此基金之中文名稱已易名，而其英文名稱則維持不變。

<sup>7</sup> Effective from 5 February 2016, "AllianceBernstein - American Income Portfolio" has been renamed as "AB FCP I - American Income Portfolio". 由2016年2月5日起，「聯博 - 美元收益基金」已易名為「AB FCP I - 美元收益基金」。

<sup>8</sup> Effective from 5 February 2016, "AllianceBernstein - Global Bond Portfolio" has been renamed as "AB FCP I - Global Bond Portfolio". 由2016年2月5日起，「聯博 - 環球債券基金」已易名為「AB FCP I - 環球債券基金」。

<sup>9</sup> Effective from 5 February 2016, "AllianceBernstein - Global High Yield Portfolio" has been renamed as "AB FCP I - Global High Yield Portfolio". 由2016年2月5日起，「聯博 - 環球高收益基金」已易名為「AB FCP I - 環球高收益基金」。

<sup>10</sup> Effective from 23 March 2016, "Fidelity Funds - South East Asia Fund" has been renamed as "Fidelity Funds - Asia Focus Fund". 由2016年3月23日起，「富達基金 - 東南亞基金」已易名為「富達基金 - 亞洲焦點基金」。

<sup>11</sup> Effective from 7 November 2016, "HSBC GIF Hong Kong Equity Fund" is closed for switch-in, however, switch-out is allowed. 由2016年11月7日起，「滙豐香港股票基金」已停止轉入，但轉出則不受限制。

<sup>12</sup> Effective from 13 April 2017, this fund is closed for switch-in, however, switch-out is allowed. 由2017年4月13日起，此基金已停止轉入，但轉出則不受限制。

<sup>13</sup> Effective from 31 January 2018, "Franklin Mutual Beacon Fund" has been renamed as "Franklin Mutual U.S. Value Fund". 由2018年1月31日起，「富蘭克林互惠指標基金」已易名為「富蘭克林互惠美國價值基金」。

### Important Notes 重要事項:

**Application for fund transfer is subject to certain conditions of the relevant funds at the material time. Such application may not be proceeded if those conditions are not met. Please refer to terms and conditions of policy provisions for details.** 基金轉調申請須符合當時相關基金之指定條件，如不符合該等指定條件，該申請將不被接納。有關詳細條款及條件請參閱保單條款。

**We reserve the right to limit the number or frequency of transfers of funds put into effect.** 本公司保留權利限制作出基金轉調的次數。



**(A) Transfer of existing Non-restricted Funds balances 現時非限制基金結餘之轉調**

Existing Fund 現存基金		From 由		To 轉至		
		All 全數	% 百分比	**Risk Rating 風險級數	All 全數	% 百分比
051K	HSBC GIF Asia Pacific (ex Japan) Equity High Dividend Fund <sup>A</sup> 滙豐亞太收益增長股票基金 <sup>A</sup> (Please refer to remark for details 有關詳細內容請參閱備註)	<input type="checkbox"/>	<input type="checkbox"/> _____			
076K	Schroder ISF US Dollar Bond <sup>B</sup> 施羅德環球基金系列 – 美元債券 <sup>B</sup> (Please refer to remark for details 有關詳細內容請參閱備註)	<input type="checkbox"/>	<input type="checkbox"/> _____			
043K	Fidelity Funds – Emerging Markets Fund <sup>C</sup> 富達基金 – 新興市場基金 <sup>C</sup> (Please refer to remark for details 有關詳細內容請參閱備註)	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
046K	Fidelity Funds – Asia Focus Fund <sup>C&amp;9</sup> 富達基金 – 亞洲焦點基金 <sup>C&amp;9</sup> (Please refer to remark for details 有關詳細內容請參閱備註)	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
055K	HSBC GIF Hong Kong Equity Fund <sup>10</sup> 滙豐香港股票基金 <sup>10</sup> (Please refer to remark for details 有關詳細內容請參閱備註)	<input type="checkbox"/>	<input type="checkbox"/> _____			
058K	HSBC GIF Global Emerging Markets Equity <sup>1</sup> 滙豐環球投資基金環球新興市場股票 <sup>1</sup> (Please refer to remark for details 有關詳細內容請參閱備註)	<input type="checkbox"/>	<input type="checkbox"/> _____			
030K	AB FCP I - American Income Portfolio <sup>6</sup> AB FCP I - 美元收益基金 <sup>6</sup> (Please refer to remark for details 有關詳細內容請參閱備註)	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
032K	AB FCP I - Global Bond Portfolio <sup>7</sup> AB FCP I - 環球債券基金 <sup>7</sup> (Please refer to remark for details 有關詳細內容請參閱備註)	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
033K	AB FCP I - Global High Yield Portfolio <sup>9</sup> AB FCP I - 環球高收益基金 <sup>9</sup> (Please refer to remark for details 有關詳細內容請參閱備註)	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
040K	Fidelity Funds – Asia Pacific Dividend Fund <sup>2</sup> 富達基金 – 亞太股息基金 <sup>2</sup> (Please refer to remark for details 有關詳細內容請參閱備註)	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
041K	Fidelity Funds – Asian Special Situations Fund 富達基金 – 亞洲特別機會基金	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
044K	Fidelity Funds – Fidelity Target <sup>TM</sup> 2020 Fund <sup>11</sup> 富達基金 – 富達目標 <sup>TM</sup> 2020基金 <sup>11</sup>	<input type="checkbox"/>	<input type="checkbox"/> _____			
045K	Fidelity Funds – Pacific Fund 富達基金 – 太平洋基金	<input type="checkbox"/>	<input type="checkbox"/> _____			
047K	Fidelity Funds – US High Yield Fund 富達基金 – 美元高收益基金	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
048K	Fidelity Funds – America Fund 富達基金 – 美國基金	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
080K	Franklin Mutual U.S. Value Fund <sup>12</sup> 富蘭克林互惠美國價值基金 <sup>12</sup>	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
087K	Franklin Mutual European Fund 富蘭克林互惠歐洲基金	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
060K	BlackRock Global Allocation Fund 貝萊德環球資產配置基金	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
061K	BlackRock Global Enhanced Equity Yield Fund 貝萊德環球股票收益進昇基金	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
070K	BlackRock Global Dynamic Equity Fund <sup>3</sup> 貝萊德環球動力股票基金 <sup>3</sup> (Please refer to remark for details 有關詳細內容請參閱備註)	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
064K	BlackRock Japan Flexible Equity Fund <sup>4&amp;11</sup> 貝萊德日本靈活股票基金 <sup>4&amp;11</sup> (Please refer to remark for details 有關詳細內容請參閱備註)	<input type="checkbox"/>	<input type="checkbox"/> _____			
065K	BlackRock US Basic Value Fund 貝萊德美國價值型基金	<input type="checkbox"/>	<input type="checkbox"/> _____			
066K	BlackRock US Flexible Equity Fund 貝萊德美國靈活股票基金	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
074K	Schroder ISF Global Equity Yield 施羅德環球基金系列 – 環球收益股票	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
075K	Schroder ISF Greater China 施羅德環球基金系列 – 大中華	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
081K	Templeton Asian Bond Fund 鄧普頓亞洲債券基金	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
082K	Templeton Asian Growth Fund <sup>11</sup> 鄧普頓亞洲增長基金 <sup>11</sup>	<input type="checkbox"/>	<input type="checkbox"/> _____			
084K	Templeton Global Fund 鄧普頓環球美元基金	<input type="checkbox"/>	<input type="checkbox"/> _____			
085K	Templeton Global Income Fund 鄧普頓環球入息基金	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
086K	Templeton Global Total Return Fund 鄧普頓環球總收益基金	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
<b>Total 合共</b>						<b>100%</b>

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**(B) Transfer of existing Restricted Funds balance 現時限制基金結餘之轉調**

		From 由		To 轉至		
Existing Fund 現存基金		All 全數	% 百分比	**Risk Rating 風險級數	All 全數	% 百分比
<b>Restricted Funds 限制基金</b>						
043K	Fidelity Funds – Emerging Markets Fund <sup>D</sup> 富達基金 – 新興市場基金 <sup>D</sup> (Please refer to remark for details 有關詳細內容請參閱備註)	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
046K	Fidelity Funds – Asia Focus Fund <sup>D&amp;9</sup> 富達基金 – 亞洲焦點基金 <sup>D&amp;9</sup> (Please refer to remark for details 有關詳細內容請參閱備註)	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
053K	HSBC GIF Chinese Equity Fund 滙豐中國股票基金	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
052K	HSBC GIF BRIC Equity Fund <sup>5</sup> 滙豐新興四國股票基金 <sup>5</sup> (Please refer to remark for details 有關詳細內容請參閱備註)	<input type="checkbox"/>	<input type="checkbox"/> _____			
056K	HSBC GIF Indian Equity Fund 滙豐印度股票基金	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
042K	Fidelity Funds – China Focus Fund 富達基金 – 中國焦點基金	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
063K	BlackRock Japan Small & MidCap Opportunities Fund 貝萊德日本中小型企業特別時機基金	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
067K	BlackRock World Energy Fund 貝萊德世界能源基金	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
068K	BlackRock World Gold Fund 貝萊德世界黃金基金	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
069K	BlackRock World Mining Fund 貝萊德世界礦業基金	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
073K	Schroder ISF BRIC (Brazil, Russia, India, China) 施羅德環球基金系列 – 金磚四國(巴西·俄羅斯·印度·中國)	<input type="checkbox"/>	<input type="checkbox"/> _____		<input type="checkbox"/>	<input type="checkbox"/> _____
<b>Non-restricted Funds 非限制基金</b>						
051K	HSBC GIF Asia Pacific (ex Japan) Equity High Dividend Fund <sup>A</sup> 滙豐亞太收益增長股票基金 <sup>A</sup> (Please refer to remark for details 有關詳細內容請參閱備註)					
076K	Schroder ISF US Dollar Bond <sup>B</sup> 施羅德環球基金系列 – 美元債券 <sup>B</sup> (Please refer to remark for details 有關詳細內容請參閱備註)					
043K	Fidelity Funds – Emerging Markets Fund <sup>C</sup> 富達基金 – 新興市場基金 <sup>C</sup> (Please refer to remark for details 有關詳細內容請參閱備註)				<input type="checkbox"/>	<input type="checkbox"/> _____
046K	Fidelity Funds – Asia Focus Fund <sup>C&amp;9</sup> 富達基金 – 亞洲焦點基金 <sup>C&amp;9</sup> (Please refer to remark for details 有關詳細內容請參閱備註)				<input type="checkbox"/>	<input type="checkbox"/> _____
055K	HSBC GIF Hong Kong Equity Fund <sup>10</sup> 滙豐香港股票基金 <sup>10</sup> (Please refer to remark for details 有關詳細內容請參閱備註)					
058K	HSBC GIF Global Emerging Markets Equity <sup>1</sup> 滙豐環球投資基金環球新興市場股票 <sup>1</sup> (Please refer to remark for details 有關詳細內容請參閱備註)					

		From 由		To 轉至		
Existing Fund 現存基金		All 全數	% 百分比	**Risk Rating 風險級數	All 全數	% 百分比
<b>Non-restricted Funds 非限制基金</b>						
030K	AB FCP I - American Income Portfolio <sup>6</sup> AB FCP I - 美元收益基金 <sup>6</sup> (Please refer to remark for details 有關詳細內容請參閱備註)				<input type="checkbox"/>	<input type="checkbox"/> _____
032K	AB FCP I - Global Bond Portfolio <sup>7</sup> AB FCP I - 環球債券基金 <sup>7</sup> (Please refer to remark for details 有關詳細內容請參閱備註)				<input type="checkbox"/>	<input type="checkbox"/> _____
033K	AB FCP I - Global High Yield Portfolio <sup>8</sup> AB FCP I - 環球高收益基金 <sup>8</sup> (Please refer to remark for details 有關詳細內容請參閱備註)				<input type="checkbox"/>	<input type="checkbox"/> _____
040K	Fidelity Funds – Asia Pacific Dividend Fund <sup>2</sup> 富達基金 – 亞太股息基金 <sup>2</sup> (Please refer to remark for details 有關詳細內容請參閱備註)				<input type="checkbox"/>	<input type="checkbox"/> _____
041K	Fidelity Funds – Asian Special Situations Fund 富達基金 – 亞洲特別機會基金				<input type="checkbox"/>	<input type="checkbox"/> _____
044K	Fidelity Funds – Fidelity Target™ 2020 Fund <sup>11</sup> 富達基金 – 富達目標™2020基金 <sup>11</sup>					
045K	Fidelity Funds – Pacific Fund 富達基金 – 太平洋基金				<input type="checkbox"/>	<input type="checkbox"/> _____
047K	Fidelity Funds – US High Yield Fund 富達基金 – 美元高收益基金				<input type="checkbox"/>	<input type="checkbox"/> _____
048K	Fidelity Funds – America Fund 富達基金 – 美國基金				<input type="checkbox"/>	<input type="checkbox"/> _____
080K	Franklin Mutual U.S. Value Fund <sup>12</sup> 富蘭克林互惠美國價值基金 <sup>12</sup>				<input type="checkbox"/>	<input type="checkbox"/> _____
087K	Franklin Mutual European Fund 富蘭克林互惠歐洲基金				<input type="checkbox"/>	<input type="checkbox"/> _____
060K	BlackRock Global Allocation Fund 貝萊德環球資產配置基金				<input type="checkbox"/>	<input type="checkbox"/> _____
061K	BlackRock Global Enhanced Equity Yield Fund 貝萊德環球股票收益進昇基金				<input type="checkbox"/>	<input type="checkbox"/> _____
070K	BlackRock Global Dynamic Equity Fund <sup>3</sup> 貝萊德環球動力股票基金 <sup>3</sup> (Please refer to remark for details 有關詳細內容請參閱備註)				<input type="checkbox"/>	<input type="checkbox"/> _____
064K	BlackRock Japan Flexible Equity Fund <sup>4&amp;11</sup> 貝萊德日本靈活股票基金 <sup>4&amp;11</sup> (Please refer to remark for details 有關詳細內容請參閱備註)					
065K	BlackRock US Basic Value Fund 貝萊德美國價值型基金				<input type="checkbox"/>	<input type="checkbox"/> _____
066K	BlackRock US Flexible Equity Fund 貝萊德美國靈活股票基金				<input type="checkbox"/>	<input type="checkbox"/> _____
074K	Schroder ISF Global Equity Yield 施羅德環球基金系列 – 環球收益股票				<input type="checkbox"/>	<input type="checkbox"/> _____
075K	Schroder ISF Greater China 施羅德環球基金系列 – 大中華				<input type="checkbox"/>	<input type="checkbox"/> _____
081K	Templeton Asian Bond Fund 鄧普頓亞洲債券基金				<input type="checkbox"/>	<input type="checkbox"/> _____
082K	Templeton Asian Growth Fund <sup>11</sup> 鄧普頓亞洲增長基金 <sup>11</sup>					
084K	Templeton Global Fund 鄧普頓環球美元基金				<input type="checkbox"/>	<input type="checkbox"/> _____
085K	Templeton Global Income Fund 鄧普頓環球入息基金				<input type="checkbox"/>	<input type="checkbox"/> _____
086K	Templeton Global Total Return Fund 鄧普頓環球總收益基金				<input type="checkbox"/>	<input type="checkbox"/> _____
				<b>Total 合共</b>		<b>100%</b>

INH034R54 (1/18)W

** Risk Rating 風險級數：	
1. <b>Low Risk</b> 低風險	<b>Minimal</b> chance of losing a significant portion of your capital over the term of the investment (although this is not guaranteed). Expected to demonstrate <b>minimal</b> price fluctuations over short periods of time. 在投資過程中會有 <b>輕微</b> 機會損失大部分的資產(縱使不能保證)。在一段短時間內，預期會有 <b>輕微</b> 的價值波動。
2. <b>Low to Medium Risk</b> 低至中度風險	<b>Low</b> chance of losing a significant portion of your capital over the term of the investment (although this is not guaranteed). Expected to demonstrate <b>moderately low</b> level of price fluctuations over short periods of time. 在投資過程中會有 <b>低</b> 機會損失大部分的資產(縱使不能保證)。在一段短時間內，預期會有 <b>適度低</b> 程度的價值波動。
3. <b>Medium Risk</b> 中度風險	<b>Moderate</b> chance of losing a significant portion of your capital over the term of the investment (although this is not guaranteed). Expected to demonstrate <b>moderate</b> level of price fluctuations over short periods of time. 在投資過程中會有 <b>中度</b> 機會損失大部分的資產(縱使不能保證)。在一段短時間內，預期會有 <b>中度的</b> 價值波動。
4. <b>Medium to High Risk</b> 中度至高風險	<b>Moderately high</b> chance of losing a significant portion of your capital over the term of the investment. Expected to demonstrate <b>moderately high</b> level of price fluctuations over short periods of time. 在投資過程中會有 <b>中高</b> 機會損失大部分的資產。在一段短時間內，預期會有 <b>中高</b> 程度的價值波動。
5. <b>High Risk</b> 高風險	<b>High</b> chance of losing a significant portion of your capital over the term of the investment. Expected to demonstrate <b>high</b> level of price fluctuations over short periods of time. 在投資過程中會有 <b>高</b> 機會損失大部分的資產。在一段短時間內，預期會有 <b>高</b> 程度的價值波動。

### Risk Profiling Questionnaire 風險評估問卷

My risk attitude established under the Risk Profiling Questionnaire (RPQ) 本人於風險評估問卷所確認的投資風險取向：

Secure 穩當型     
 Very Cautious 非常謹慎型     
 Cautious 謹慎型     
 Balanced 平衡型     
 Adventurous 進取型     
 Speculative 投機型

I confirm that I have completed/read through my Risk Profiling Questionnaire on (DD/MM/YYYY) 本人確認本人已填寫/重溫風險評估問卷，填寫/重溫日期(日/月/年)：\_\_\_\_\_

### Product Selection Criteria 挑選產品準則

I confirm that the following Product Selection Criteria is indicated by me in the discussion. 本人確認以下挑選產品準則為本人於會談中提供。

i) Risk Attitude 風險取向

I confirm that the risk attitude established under the Risk Profiling Questionnaire is appropriate and I am happy to apply it to this transaction. 本人確認於風險評估問卷所得出的風險取向是恰當的並同意此風險取向適用於此交易。

I indicate, understand and acknowledge my risk attitude for this transaction is **HIGHER** than the risk attitude established under the Risk Profiling Questionnaire.\* 本人表明、明白及承認適用於此交易的風險取向**高於**本人於風險評估問卷所得出的風險取向。\*

My risk attitude for this transaction is 本人此交易的投資風險取向為：

Very Cautious 非常謹慎型     
 Cautious 謹慎型     
 Balanced 平衡型     
 Adventurous 進取型     
 Speculative 投機型

ii) Investment Objective/Goal 投資目標/目的

- Education 教育
- Protection 保障
- Retirement 退休
- Wealth Accumulation 累積財富

iii) Investment Period 投資年期

- LESS than or equal to **1** year 少於或等於**1**年
- MORE than **1** year and LESS than or equal to **3** years **1**年以上至**3**年或以下
- MORE than **3** years and LESS than or equal to **5** years **3**年以上至**5**年或以下
- MORE than **5** years and LESS than **10** years **5**年以上至**10**年以下
- MORE than or equal to **10** years **10**年或以上

\* I acknowledge and understand that the arrangement of any transaction by HSBC on my behalf is not in any way a confirmation or an endorsement from HSBC that it is suitable for me. 本人知悉及明白滙豐代表本人安排及執行此交易，並不表示滙豐確認或同意此交易適合本人。



<b>Risk Mismatch 風險錯配</b>				
<input type="checkbox"/> My selected fund(s)' risk level is/are higher than the risk attitude established by completion of the Risk Profiling Questionnaire and the product and/or the selected fund(s) may not be suitable for me. 本人選擇的基金風險級數高於本人風險評估問卷所確認的風險取向，此產品及／或所選擇的基金可能不適合本人。				
<b>Suitability Declaration 適合性聲明</b>				
I understand and agree that (tick one only): 本人明白並同意(任擇一項)：				
<input type="checkbox"/> A. the features and risk level of my selected mix of underlying funds are suitable for me based on my risk profile as indicated in the Risk Profiling Questionnaire and Product Selection Criteria. 根據本人於風險評估問卷及挑選產品準則所披露的投資風險概況，本人所選擇的相關基金組合均適合本人。				
<input type="checkbox"/> B. despite the fact that the features and/or risk level of my selected mix of underlying funds may not be suitable for me based on my risk profile as indicated in the Risk Profiling Questionnaire and Product Selection Criteria, I confirm that it is my intention and desire to proceed with my transaction(s) as explained below. 儘管根據本人於風險評估問卷及挑選產品準則所披露的投資風險概況，本人選擇的相關基金組合可能並不適合本人，但本人確認基於下述原因，本人打算及意欲執行此交易：				
(If Box B is ticked, then please complete explanation in this box)* (如選擇「B」項，請於此欄內提供原因)*				
<input type="checkbox"/> C. despite the fact that I am required to complete the Risk Profiling Questionnaire and Product Selection Criteria to ensure that the underlying fund(s) to be purchased are suitable for me, I confirm that it is my intention and desire to proceed with my transaction(s) without complying with the said requirement for the reason(s) below. 儘管本人必須完成風險評估問卷及挑選產品準則，以確保所選購的相關基金適合本人，但本人確認基於下述原因，不遵從有關要求的情況下，本人打算及意欲執行此交易：				
(If Box C is ticked, then please complete explanation in this box)* (如選擇「C」項，請於此欄內提供原因)*				
I acknowledge I should not purchase the selected mix of underlying funds unless I understand these and their suitability has been explained to me and that the final decision is mine. 本人確認，除非本人清楚了解相關投資項目的選擇組合，並得悉相關基金如何切合本人的需要，否則本人不應選購此相關基金。本人擁有最終的決定權。				
<input type="checkbox"/> * The explanation stated above is provided by me verbally and I understand that the conversation has been audio recorded. 以上解釋為本人口述及本人明白是次對話已被錄音。				
<div style="border: 1px solid black; padding: 5px; display: inline-block;">(Please confirm the statement by stating "Agree" and initial 請填寫「同意」確認本聲明及簡簽)</div>				
<div style="border: 1px solid black; padding: 5px; display: inline-block;">Policyholder's signature 保單持有人簽署</div>				
Date 日期				
<b>Companion/Second Frontline Staff Arrangement 客戶同伴／第二位銀行前線職員安排</b>				
I understand that I am advised to have a companion (a friend or relative) and a second frontline staff to attend this sales meeting. 本人明白貴行的建議，可考慮邀請一位同伴(朋友或親友)及第二位銀行前線職員一同參與此銷售過程。				
Companion Arrangement 客戶同伴安排	<input type="checkbox"/> I have companion (a friend or a relative) to attend this meeting to facilitate my better understanding of the advice given to me. 本人有一位同伴(朋友或親友)一同參與此銷售過程以助本人了解滙豐對本人提供的投資意見。 <div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Name of Companion 同伴的姓名</div> <div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Relationship 關係</div> <input type="checkbox"/> I declare that I do not need the companion arrangement due to the reason below: 由於以下的原因，本人聲明本人並不需要同伴安排： <div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Reason 原因</div>			
Arrangement of Second Frontline Staff 第二位銀行前線職員安排	<input type="checkbox"/> I agree to have a second frontline staff to attend this meeting. 本人同意邀請第二位銀行前線職員一同參與此銷售過程。 <table border="1" style="width: 100%; border-collapse: collapse; margin-bottom: 5px;"> <tr> <td style="width: 33%; padding: 2px;">Staff Name 職員姓名</td> <td style="width: 33%; padding: 2px;">Title 職位</td> <td style="width: 33%; padding: 2px;">Staff Initial 職員簡簽</td> </tr> </table> <input type="checkbox"/> I declare that I do not need this arrangement. 本人聲明本人並不需要此安排。	Staff Name 職員姓名	Title 職位	Staff Initial 職員簡簽
Staff Name 職員姓名	Title 職位	Staff Initial 職員簡簽		
<div style="border: 1px solid black; padding: 5px; display: inline-block;">Initial of Policyholder 保單持有人簡簽</div>				
<b>Reflection Period 考慮期</b>				
I have been advised on _____ [DD/MM/YY] to take at least one business day to reflect before proceeding with the transaction(s) discussed. 貴行曾於 _____ [日/月/年] 建議本人在進行已討論的交易前可用不少於一個營業日的時間去考慮。				
<input type="checkbox"/> I decided to take at least one business day to reflect before proceeding with the transaction(s). 本人決定在交易前用不少於一個營業日的時間去考慮。 <input type="checkbox"/> I decided to take less than one business day to reflect before proceeding with the transaction(s). 本人決定在交易前用少於一個營業日的時間去考慮。 Reason 原因 _____				
<input type="checkbox"/> I decided that I do not need a reflection period before proceeding with the transaction(s). 本人決定在交易前不需要考慮期。 Reason 原因 _____				
<div style="border: 1px solid black; padding: 5px; display: inline-block;">Initial of Policyholder 保單持有人簡簽</div>				

**Personal Information Collection Statement 收集個人資料聲明**

**Notice relating to the Personal Data (Privacy) Ordinance (the "Ordinance") 關於個人資料(私隱)條例(「該條例」)的通知**

**HSBC Life (International) Limited ("HSBC") 滙豐人壽保險(國際)有限公司(「滙豐」)**

- (a) From time to time, it is necessary for individuals to supply HSBC with data in connection with the provision, continuation and administration of insurance contracts or other financial products and services by HSBC or compliance with any laws, guidelines or requests issued by regulatory or other authorities. 就滙豐的保險合同或其他金融產品及所提供的服務、延續及行政事宜，或因法例規定或監管或因其他監管或其他機關所發出的指引或要求，閣下有需要不時向滙豐提供有關的資料。
- (b) Failure to supply such data promptly may result in HSBC being unable to provide or continue to provide products and services. 若未能迅速向滙豐提供該等資料，可能會導致滙豐無法提供或繼續提供產品及服務。
- (c) It is also the case that data are collected from (i) individuals in the ordinary course of the continuation of the relationship, (ii) a person acting on behalf of the individual whose data are provided, and (iii) other sources available to HSBC. Data may also be generated or combined with other information available to HSBC or any member of the HSBC Group ("HSBC Group" means HSBC Holdings plc, its affiliates, subsidiaries, associated entities and any of their branches and offices (together or individually) and "member of the HSBC Group" has the same meaning). 滙豐亦會從以下各方收集資料：(i) 個人與滙豐的日常業務往來的過程中，(ii) 代表個別人士行事的人士提供該個別人士的資料，及(iii) 從其他可供滙豐獲取資料的來源。有關資料亦可能與滙豐或任何滙豐集團成員(「滙豐集團」)(一併及分別地)指滙豐控股有限公司，其附屬公司、子公司、聯營單位及彼等的任何分行及辦事處，而「滙豐集團成員」具有相同涵義)所持有的其他資料一起產生或合併。
- (d) The purposes for which data may be used are as follows: 資料可被用作下列用途：
- (i) considering applications for products and services and offering, providing, maintaining and managing products and services to customers and the operation and administration of the products and services (including without limitation, insurance, provident fund or scheme, credit facilities or other financial products or services) provided to customers which may include, without limitation, underwriting, administration or evaluation of an insurance policy or product; 考慮產品及服務之申請及為客戶推薦、提供、維持及管理產品和服務，以及用於客戶獲提供的產品及服務(包括但不限於保險、公積金或公積金計劃、信貸融通或其他金融產品或服務)的運作及行政，包括但不限於保單或保險產品的承保、行政或評估；
  - (ii) conducting identity, medical or credit checks; 進行身份審查、身體檢查或信用審查；
  - (iii) creating and maintaining the credit and risk related models of HSBC and the HSBC Group; 設立及維持滙豐及滙豐集團的信貸及風險相關準則；
  - (iv) any purposes in connection with any claims made by or against or otherwise involving a customer in respect of any products and/or services provided by HSBC or a member of the HSBC Group including, without limitation, making, defending, analysing, investigating, processing, assessing, determining, responding to, resolving or settling such claims; 與任何由滙豐或滙豐集團成員提供的產品及/或服務相關，而由客戶提出或對客戶作出的索償，或以其他形式涉及客戶的索償有關的任何用途，包括但不限於作出、辯護、分析、調查、處理、評估、釐定、回應、解決該等索償或就該等索償達成和解；
  - (v) designing insurance and other financial products and/or services for customers' use; 設計提供客戶使用的保險及其他金融產品及/或服務；
  - (vi) marketing services, products and other subjects as described in paragraph (f) below; 推廣以下(f)段所述的服務、產品及其他標的；
  - (vii) determining the amount of indebtedness owed to or by a customer and collecting amounts outstanding from a customer and those providing security for customers' obligations; 釐定滙豐對客戶或客戶對滙豐的欠債金額，並向客戶及為客戶債務提供抵押的人士追討欠款；
  - (viii) meeting obligations, requirements or arrangements, whether compulsory or voluntary, of HSBC or any of its branches or any member of the HSBC Group to comply with, or in connection with: 遵守滙豐或其任何分行或任何滙豐集團成員就以下各項負上或有關的責任、要求或安排(不論強制或自願性質)：
    - (1) any law, regulation, judgment, court order, voluntary code, sanctions regime, within or outside the Hong Kong Special Administrative Region ("Hong Kong") existing currently and in the future ("Laws") (e.g. the Inland Revenue Ordinance and its provisions including those concerning automatic exchange of financial account information); 現在及將來於香港特別行政區(「香港」)境內或境外存在的任何法律、法規、判決、法院命令、自願守則、制裁制度(「法律」)(例如《稅務條例》及其條文，包括關於自動交換財務賬戶資料的條文)；
    - (2) any guidelines, guidance or requests given or issued by any legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations of financial services providers within or outside Hong Kong existing currently and in the future (e.g. guidelines, guidance or requests given or issued by the Inland Revenue Department including those concerning automatic exchange of financial account information) and any international guidance, internal policies or procedures; 現在及將來於香港境內或境外存在的任何法律、監管、政府、稅務、執法或其他機關，或財務服務供應商的自律監管或行業組織或協會所提供或發出的任何指引、指導或要求(例如稅務局所提供或發出的指引、指導或要求，包括關於自動交換財務賬戶資料的指引、指導或要求)，及任何國際指引、內部政策或程序；
    - (3) any present or future contractual or other commitment with local or foreign legal, regulatory, judicial, administrative, public or law enforcement body, or governmental, tax, revenue, monetary, securities or futures exchange, court, central bank or other authorities, or self-regulatory or industry bodies or associations of financial service providers or any of their agents with jurisdiction over all or any part of the HSBC Group (together the "Authorities" and each an "Authority") that is assumed by, imposed on or applicable to HSBC or any of its branches or any member of the HSBC Group; 或滙豐或其任何分行或任何滙豐集團成員承擔的或被施加的或適用於彼等的、與滙豐集團整體或任何部分具有司法權限的本地或外地法律、監管、司法、行政、公營或執法機關，或政府、稅務、納稅、財政、證券或期貨交易所、法院、中央銀行或其他機關，或財務服務供應商的自律監管或行業組織或協會或彼等的任何代理(統稱及各稱「機關」)訂立的任何現在或將來的合約承諾或其他承諾；或
    - (4) any agreement or treaty between Authorities; 機關之間的任何協議或條約；
  - (ix) complying with any obligations, requirements, policies, procedures, measures or arrangements for sharing data and information within the HSBC Group and/or any other use of data and information in accordance with any programmes for compliance with sanctions or prevention or detection of money laundering, terrorist financing or other unlawful activities; 遵守就滙豐集團內共用資料及資訊的使用而指定的任何責任、要求、政策、程序、措施或安排及/或任何符合制裁或預防或偵測清洗黑錢、恐怖分子融資活動或其他非法活動的任何方案；
  - (x) conducting any action to meet obligations of HSBC or any member of the HSBC Group to comply with Laws or international guidance or regulatory requests relating to or in connection with the detection, investigation and prevention of money laundering, terrorist financing, bribery, corruption, tax evasion, fraud, evasion of economic or trade sanctions and/or any acts or attempts to circumvent or violate any Laws relating to these matters; 採取任何行動以遵守滙豐或任何滙豐集團成員的責任以符合有關偵測、調查及預防清洗黑錢、恐怖分子融資活動、賄賂、貪污、逃稅、欺詐、逃避經濟或貿易制裁及/或規避或違反有關此等事宜的任何法律的任何行為或企圖的法律或國際指引或監管要求；
  - (xi) meeting obligations of HSBC or any member of the HSBC Group to comply with any demand or request from Authorities; 遵守滙豐或任何滙豐集團成員的任何責任，以符合有關機關的任何指令或要求；
  - (xii) exercising any rights HSBC or a member of the HSBC Group may have in connection with the products or services provided to a customer; 行使滙豐或滙豐集團成員與客戶獲提供的產品或服務相關的任何權利；
  - (xiii) matching any data held by HSBC or a member of the HSBC Group relating to a data subject from time to time for any of the purposes listed in this paragraph (d); 不時與滙豐或滙豐集團成員持有與資料當事人相關的任何資料核對，以供作本(d)段列明的任何一項用途；
  - (xiv) enabling an actual or proposed assignee or transferee of HSBC or any member of the HSBC Group, or participant or sub-participant of HSBC's or any member of the HSBC Group companies' rights to evaluate and/or undertake due diligence in relation to the transaction intended to be the subject of the assignment, transfer, participation or sub-participation; and 讓滙豐或任何滙豐集團成員的實際或建議承讓人或受讓人，或滙豐或任何滙豐集團成員公司權利的參與人或附屬參與人對擬議作為轉讓、出讓、參與或附屬參與之交易項目進行評核及/或盡職查證；及
  - (xv) purposes relating thereto. 與上述有關的用途。
- (e) Data held by HSBC or a member of the HSBC Group relating to an individual will be kept confidential but HSBC or a member of the HSBC Group may provide such information to the following parties (whether within or outside Hong Kong) for the purposes set out in paragraph (d): 滙豐或滙豐集團成員持有的個人資料將予以保密，但滙豐或任何滙豐集團成員可就第(d)段列明的用途把該等資料提供予下列各方(不論在香港境內或境外)：
- (i) any agents, contractors, sub-contractors, service providers, reinsurers or associates of the HSBC Group (including their employees, directors, officers, agents, contractors, service providers and professional advisers); 滙豐集團的任何代理人、承包商、次承包商、服務供應商、再保人或聯營人士(包括彼等的僱員、董事、職員、代理人、承包商、服務供應商及專業顧問)；
  - (ii) any third party service provider who provides administrative, telecommunications, computer, payment or securities clearing or other services to HSBC in connection with the operation of its businesses (including their employees, directors and officers); 就滙豐的業務運作向滙豐提供行政、電訊、電腦、付款或證券結算或其他服務的任何第三方服務供應商(包括彼等的僱員、董事及職員)；
  - (iii) any Authorities; 任何機關；
  - (iv) any person under a duty of confidentiality to HSBC including a member of the HSBC Group which has undertaken to keep such information confidential; 任何對滙豐有保密責任的人，包括已承諾對該等資料保密的滙豐集團成員；
  - (v) any person in the context of the sale or transfer by HSBC or any member of the HSBC Group of all or part of its business or portfolio of products, policies or other assets or any proposed or confirmed transaction relating to such a sale or transfer; 由滙豐或任何滙豐集團成員出售或轉讓其全部或部分業務或產品組合、保單或其他資產或任何擬訂或確定的有關該出售或轉讓的交易的任何人士；
  - (vi) credit reference agencies and, in the event of default, any debt collection agencies; 信貸資料服務機構，並且在客戶欠帳時，可將該等資料提供給任何追討欠款的代理公司；
  - (vii) any person to whom HSBC or any of its branches or any member of the HSBC Group is under an obligation or required or expected to make disclosure for the purposes set out in paragraph (d)(viii), (d)(ix), (d)(x) or (d)(xi); 滙豐或其任何分行或任何滙豐集團成員就第(d)(viii)、(d)(ix)、(d)(x)或(d)(xi)段所載目的而有責任或必須或被預期待向其作出披露的任何人士；
  - (viii) any actual or proposed assignee or transferee of HSBC or any member of the HSBC Group or participant or sub-participant of HSBC's or any member of the HSBC Group's rights in respect of the data subject; 滙豐或任何滙豐集團成員的任何實際或建議承讓人或受讓人，或就滙豐或任何滙豐集團成員對資料當事人享有的權利的參與人或附屬參與人；

**Personal Information Collection Statement (cont'd) 收集個人資料聲明(續)**

- (ix) (1) any member of the HSBC Group; 任何滙豐集團成員；  
(2) third party financial institutions, insurers, credit card companies, securities and investment services providers; 第三方金融機構、保險公司、信用卡公司、證券及投資服務供應商；  
(3) third party reward, loyalty, co-branding and privileges programme providers; 第三方獎賞、忠誠、合作品牌及優惠計劃供應商；  
(4) co-branding partners of HSBC or any member of the HSBC Group (the names of such co-branding partners will be provided during the application process for the relevant products as the case may be); 滙豐或任何滙豐集團成員的合作品牌夥伴(該等合作品牌夥伴的名稱將會於申請有關產品(視情況而定)時提供)；  
(5) charitable or non-profit making organisations; and 慈善或非牟利機構；及  
(6) external service providers (including but not limited to mailing houses, telecommunication companies, telemarketing and direct sales agents, call centres, data processing companies and information technology companies) that HSBC engages for the purposes set out in paragraph (d)(vi); 為達至第(d)(vi)段之目的而被滙豐僱用的外部服務供應商(包括但不限於代客寄件公司、電訊公司、電話行銷及直接促銷代理人、電話中心、數據處理公司及資訊科技公司)；
- (x) hospitals, clinics, medical practitioners, laboratories, technicians, loss adjustors, risk intelligence providers, legal advisers or private investigators that may be engaged by HSBC or on behalf of HSBC; 可能被滙豐任用或代表滙豐之醫院、診所、醫生、化驗所、技術員、理賠師、風險情報供應商、法律顧問或私家偵探；
- (xi) any persons acting on behalf of an individual whose data are provided, payment recipients, beneficiaries, account nominees, intermediary, correspondent and agent banks, clearing houses, clearing or settlement systems, market counterparties, upstream withholding agents, swap or trade repositories, stock exchanges, companies in which the customer has an interest in securities (where such securities are held by HSBC) or persons acting on behalf of the customer or the individual whose data is provided for the purposes of receiving benefits under an insurance policy; and 代表其資料被提供的個人行事的任何人士；收款人、受益人、戶口代名人、中介人、往來及代理銀行、結算公司、結算或交收系統、市場交易對手、上游預扣稅代理、掉期或交易儲備庫、證券交易所、客戶擁有證券權益的公司(如果該等證券由滙豐持有)，或代表客戶或其資料被提供以領取保單利益的個人行事的任何人士；及
- (xii) any party to a transaction or potential transaction acquiring interest in, or assuming or bearing risk in, or in connection with an insurance policy including, without limitation, reinsurers. 交易或潛在交易中收購保單權益或承擔或承受保單的或涉及保單的風險的任何一方，包括但不限於再保險人。

Such information may be transferred to a place outside Hong Kong SAR. 有關資料或被轉移至香港境外。

**(f) Use of Data in Direct Marketing 在直接促銷中使用資料**

HSBC intends to use personal data in direct marketing and HSBC requires the data subject's consent (which includes an indication of no objection) for that purpose. In this connection, please note that: 滙豐擬把個人資料用於直接促銷，而滙豐為該用途須獲得資料當事人同意(包括表示不反對)。就此，請注意：

- (i) the name, contact details, products and other service portfolio information, transaction pattern and behaviour, financial background and demographic data of a data subject held by HSBC from time to time may be used by HSBC in direct marketing; 滙豐可能把滙豐不時持有資料當事人的姓名、聯絡資料、產品及其他服務組合資料、交易模式及行為、財務背景及人口統計數據用於直接促銷；
- (ii) the following classes of services, products and subjects may be marketed: 可用作促銷下列類別的服務、產品及標的：  
(1) financial, insurance, credit card, pensions, banking and related services and products; 財務、保險、信用卡、退休金、銀行及相關服務及產品；  
(2) reward, loyalty, privilege or co-branding programmes and related services and products; 獎賞、忠誠、優惠或合作品牌計劃及相關服務及產品；  
(3) services and products offered by HSBC's co-branding partners (the names of such co-branding partners will be provided during the application of the relevant services and products, as the case may be); and 滙豐合作品牌夥伴提供之服務及產品(該等合作品牌夥伴的名稱將會於申請有關服務及產品(視情況而定)時提供)；及  
(4) donations and contributions for charitable and/or non-profit making purposes; 為慈善及/或非牟利用途的捐款及捐贈；
- (iii) the above services, products and subjects may be provided by or (in the case of donations and contributions) solicited by HSBC and/or: 上述服務、產品及促銷標的可能由滙豐及/或下列各方提供或(就捐款及捐贈而言)徵求：  
(1) members of the HSBC Group; 滙豐集團成員；  
(2) third party financial institutions, insurers, banks, credit card companies and investment services providers; 第三方金融機構、保險公司、銀行、信用卡公司、證券及投資服務供應商；  
(3) third party reward, loyalty, privileges or co-branding programme providers; 第三方獎賞、忠誠、優惠或合作品牌計劃供應商；  
(4) co-branding partners of HSBC and members of the HSBC Group (the names of such co-branding partners will be provided during the application process of the relevant services and products, as the case may be); and 滙豐及滙豐集團成員的合作品牌夥伴(該等合作品牌夥伴的名稱將會於申請有關服務及產品(視情況而定)時提供)；及  
(5) charitable or non-profit making organizations; 慈善或非牟利機構；
- (iv) in addition to marketing the above services, products and subjects itself, HSBC also intends that from time to time it may provide the data described in paragraph (f)(i) above to all or any of the persons described in paragraph (f)(iii) above for use by them in marketing those services, products and subjects, and HSBC requires the data subject's written consent (which includes an indication of no objection) for that purpose; 滙豐除促銷上述服務、產品及標的以外，滙豐亦擬不時將以上(f)(i)段所述的資料提供予以上(f)(iii)段所述的全部或任何人士，以供該等人士在促銷該等服務、產品及標的中使用，而滙豐為此用途須獲得資料當事人書面同意(包括表示不反對)；
- (v) HSBC may receive money or other property in return for providing the data to the other persons described in paragraph (f)(iv) above and, when requesting the data subject's consent or no objection as described in paragraph (f)(iv) above, HSBC will inform the data subject if it will receive any money or other property in return for providing the data to the other persons. 滙豐可能因按以上第(f)(iv)段所述將資料提供予其他人士而獲得金錢或其他財物的回報，而當滙豐徵求資料當事人給予以上第(f)(iv)段所述的同意或不反對表示時，倘若滙豐會因提供資料予其他人士而獲得任何金錢或其他財物回報，其將會告知資料當事人。

**If a data subject does not wish HSBC to use or provide to other persons his data for use in direct marketing as described above, the data subject may exercise his opt-out right by notifying HSBC. 資料當事人如不希望滙豐使用其資料或把其資料提供予其他人用於以上所述的直接促銷用途，可通知滙豐以行使其選擇權拒絕促銷。**

- (g) Under and in accordance with the terms of the Ordinance and the Code of Practice on Consumer Credit Data approved and issued under the Ordinance, any individual has the right: 根據該條例的條款及該條例核准及發出的個人信貸資料實務守則，任何個人有權：  
(i) to check whether HSBC holds data about him and of access to such data; 查核滙豐有否持有其資料及查閱該等資料；  
(ii) to require HSBC to correct any data relating to him which is inaccurate; 要求滙豐改正任何有關其不準確的資料；  
(iii) to ascertain HSBC's policies and practices in relation to data and to be informed of the kind of personal data held by HSBC; and 查明滙豐對於資料的政策及做法及獲告知滙豐持有的個人資料的種類；及  
(iv) in relation to consumer credit, to be informed on request whether any or which items of data are routinely disclosed to credit reference agencies or debt collection agencies, and be provided with further information to enable the making of an access and correction request to the relevant credit reference agency or debt collection agency. 就個人信貸而言，要求獲告知是否有任何或哪些資料會被例行披露予信貸資料服務機構或追討欠款公司，並獲提供進一步資料，藉以向有關信貸資料服務機構或追討欠款公司提出查閱和改正資料的要求。
- (h) In accordance with the terms of the Ordinance, HSBC has the right to charge a reasonable fee for the processing of any data access request. 根據該條例的條款，滙豐有權就處理任何查閱資料的要求收取合理費用。
- (i) The person to whom requests for access to data or correction of data or for information regarding policies and practices and kinds of data held are to be addressed is as follows:  
The Data Protection Officer,  
The Hongkong and Shanghai Banking Corporation Limited,  
PO Box 72677,  
Kowloon Central Post Office,  
Hong Kong SAR  
Email: dfv.enquiry@hsbc.com.hk  
任何關於查閱或改正資料，或索取關於資料政策及做法或所持有的資料種類的要求，應向下列人士提出：  
香港九龍中央郵政局郵政信箱 72677號  
香港上海滙豐銀行有限公司  
資料保護主任  
電郵：dfv.enquiry@hsbc.com.hk
- (j) Nothing in this Notice shall limit the rights of data subjects under the Ordinance. 本通知中的任何條文均無限制資料當事人在該條例下所享有的權利。



## Declaration

- I understand that I am advised to 本人明白貴行的建議：
  - set aside at least 6 months personal/household expenses as liquid assets for unforeseeable emergency personal or family needs when considering the amount of funds available for achieving my financial goals and consider to diversify my investment and allocate the amount of fund across different products; 當本人考慮投放於理財目標的金額時，應先預留六個月個人／家庭開支金額作流動資產，以應付突如其來的個人或家庭開支，並可考慮分散投資，將金額分配於不同產品上；
  - if I am aged 65 or above, invest into lower risk products with capital protection and less into products where the capital is at risk, maintain a higher proportion of assets in deposit based accounts, and reserve more personal/household expenses as liquid assets for unforeseeable emergency personal or family needs; 如本人是65歲或以上，應投資於風險較低的保本產品，減少投資於本金有風險的產品，將資產的較多部份存放在存款戶口，及預留更多個人／家庭開支金額作流動資產，以應付突如其來的個人或家庭開支；
  - If I am non Hong Kong citizen aged 65 or above, take tax advice to maximize the value of my estate; 如本人是65歲或以上的非香港公民，應諮詢稅務意見以令遺產價值最大化；
  - if I have or anticipate changes in circumstances impacting time horizon, invest less, invest into lower risk products with capital protection, maintain an accessible source of funds, and maintain a higher proportion of assets in deposit based accounts; 如本人的情況有變化或預計有變化而影響本人的投資年期，應減少投資，投資於風險較低的保本產品，維持充足的可動用的資金，及將資產的較多部份存放在存款戶口；
  - if I have limited means or no regular source of income, invest less and maintain a higher proportion of assets in deposit based accounts. 如本人資產有限或沒有固定收入來源，應減少投資，將資產的較多部份存放在存款戶口；
  - if I have recently received unexpected windfall, deposit the money into a flexible savings account whilst I decide on what I want to achieve, and seek advice from trusted family, friends and professionals prior to committing to longer term products and services. 如本人最近收到意外之財，應在決定怎樣利用該筆款項前將款項存入靈活的儲蓄戶口，在投資於較長年期的產品前向信任的家人、朋友或專業人士諮詢。
- I declare that the Bank has alerted me to consider the investment amount carefully if it exceeds 50% of my total portfolio. 本人聲明，若投資金額佔本人投資組合百分之五十以上，貴行已提示本人考慮投資金額。
- I understand that I am advised to consider to diversify my investment and allocate the amount of fund across different products. 本人明白貴行的建議，可考慮分散投資，並將金額分配於不同產品上。
- I understand and accept that explanation on the suitability of fund(s) is made by the Bank or any HSBC Group company solely based on information including, without limitation, risk appetite, financial situation, investment experience and objectives provided by me, and that the suitability of fund(s) will be adversely affected if any such information provided by me is inaccurate, misleading or incomplete for which neither the Bank nor such HSBC Group company assumes any responsibility. 本人明白及接受滙豐或任何滙豐集團公司在解釋基金是否適合投資時僅依據本人所提供的資料(包括但不限於風險偏好、財務狀況、投資經驗及投資目標)；以及倘本人提供的任何該等資料有誤、存在誤導或不全時，將會對基金是否適合本人投資的判斷帶來不利影響，而滙豐或相干滙豐集團公司對此概不承擔責任。
- I understand that the Bank or any HSBC Group company is not making, and has not made, any representation whatsoever as to the fund(s); and I confirm that I have not only relied on views or advice or explanation of the Bank, or any other HSBC Group company in assessing the merits, risks and suitability of the fund(s). 本人明白滙豐或相干滙豐集團公司對本基金並無作出且不曾作出任何陳述；本人確認，在評估本基金的投資價值、風險及是否適合投資時，本人並不只依賴滙豐或任何其他滙豐集團公司的觀點、意見或解釋。
- I understand that the fund factsheet(s) is/are not intended to provide, and must not be relied upon for, tax, legal or accounting advice, a credit or other evaluation of the fund(s) nor as assurance or guarantee as to the expected return (if any) of the fund(s); I should consult my own tax, legal, accounting, investment, financial and/or other advisors. 本人明白基金資料概覽不擬提供稅務、法律或會計意見，或本基金的信譽或其他評估，亦非對本基金預期回報(如有)的保證或擔保，本人不可依賴基金資料概覽作上述用途；本人應諮詢本人的稅務、法律、會計、投資、財務及／或其他顧問。
- I understand and accept that any decision to apply for the fund(s) shall be based on my own judgment and that I have relied upon information independently obtained by myself and not only on any advice or explanation or information provided by the Bank or any HSBC Group company. 本人明白及接受本人乃根據自身的判斷作出有關申請本基金的任何決定；明白及接受本人除了依賴滙豐或任何滙豐集團公司提供的任何意見、解釋或資料之外，還依賴本人獨立獲得的資料。
- By signing below, I/we agree that the Company may use and disclose all personal data about me/us that the Company currently or subsequently hold for the purposes as set out in the Notice relating to Personal Data (Privacy) Ordinance which accompanies this form. 本人(等)在下方簽署即同意貴公司可按本表格隨附的關於個人資料(私隱)條例的通知內列出的用途使用及披露貴公司現時或其後持有有關本人(等)的全部個人資料。
- (If applicable) I understand and accept the potential risk of transferring fund(s) to fund(s) with risk level higher than my risk tolerance level. (如適用)本人明白及接受轉調基金時把基金轉調至風險級數高於本人投資風險取向的基金具潛在風險。

I, the Policyholder, warrant to the Company that no proceedings in bankruptcy or insolvency have been instituted or are pending against me.

本人(即保單持有人)向貴公司保證，本人並無進行或仍未了結之破產或無力償債的訴訟。

Signature of Policyholder  
保單持有人簽署

Signature of Irrevocable Beneficiary (if any)  
不可撤換受益人簽署(如適用)

Date 日期

Date 日期

Importance Note: Please return the original of this form, duly completed and signed, to HSBC Life (International) Limited of 18/F, Tower 1, HSBC Centre, 1 Sham Mong Road, Kowloon, Hong Kong. Please note that we will only process your request upon actual receipt of this "original form."

重要事項：請填妥及簽署此申請表(表格)"正本"後並寄回滙豐人壽保險(國際)有限公司，地址：香港九龍深旺道一號滙豐中心一座十八樓，當收到此申請表(表格)"正本"，我們方會辦理閣下之申請。

<b>For Bank Use Only</b>									
Retention result: <input type="checkbox"/> Retained policy with or without amendment <input type="checkbox"/> Replaced by other policy (New HSBC Insurance Policy no. _____ )	Staff name	Staff ID no.	Contact no.						
<input type="checkbox"/> Client's ID copy attached <input type="checkbox"/> Client's original identify sighted (Initial of Staff: _____) <input type="checkbox"/> Copy of Client's other bank account information checked (only applicable if customer choose to pay to non premium deduction account) <input type="checkbox"/> Form copy provided to customer	Servicing staff RI no.	Servicing staff IA no.	Branch code and chop						
<input type="checkbox"/> Higher risk sales For customers aged 65-74: post sales approval from DD / BM (including PBM) / BSM / GBM For customers aged 75 and above: post sales approval from DD / BM (including PBM)									
<table style="width:100%; border:none;"> <tr> <td style="width:33%;">Signature</td> <td style="width:33%;">Name</td> <td style="width:33%;">Title</td> </tr> <tr> <td style="border-top: 1px solid black; height: 20px;"></td> <td style="border-top: 1px solid black; height: 20px;"></td> <td style="border-top: 1px solid black; height: 20px;"></td> </tr> </table>				Signature	Name	Title			
Signature	Name	Title							
Is this sales a risk-mismatch case? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, endorsement from licensed supervisor DD / BM (PBM) / Sales leader must be obtained									
<table style="width:100%; border:none;"> <tr> <td style="width:33%;">Signature</td> <td style="width:33%;">Name</td> <td style="width:33%;">Title</td> </tr> <tr> <td style="border-top: 1px solid black; height: 20px;"></td> <td style="border-top: 1px solid black; height: 20px;"></td> <td style="border-top: 1px solid black; height: 20px;"></td> </tr> </table>				Signature	Name	Title			
Signature	Name	Title							



<b>Sales Compliance Fulfillment Form</b>
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**For Bank Use only**

Name of Policyholder	HKID Card / Passport No. of Policyholder
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- Note:
1. Complete and submit this form together with insurance policy servicing form.
  2. Tick the appropriate box(es), provide the required details (if applicable) and then initial/sign in the "Staff Initial or Signature" box.
  3. Obtain Manager Approval with Manager's signature in the "Risk Mismatch / Multiple Mismatch" section or "PVC / HRS Post-Sale Manager Approval" box.

<b>Risk Mismatch / Multiple Mismatch</b>					
<input type="checkbox"/>	Is this a risk mismatch or multiple mismatch (i.e. involving more than one mismatch on risk attitude, asset concentration, etc) case? If yes: For risk mismatch $\leq$ 2 levels, endorsement from licensed BM / BSM / Assistant BM / CSM / GBM is required. For risk mismatch $\geq$ 3 levels, or multiple mismatch, endorsement from licensed BM (or the licensed manager who deputizes for the BM in case the BM is on leave or not around) is required.				
	<table border="1" style="width: 100%;"> <tr> <td style="width: 70%;">Signature</td> <td style="width: 30%;">Name</td> </tr> <tr> <td></td> <td>Title</td> </tr> </table>	Signature	Name		Title
Signature	Name				
	Title				

<b>Staff Declaration for PVC / HRS</b>					
PVC Categories					
<input type="checkbox"/>	1. Mentally Incapacitated or Cognitive Impairment ( <i>Note: Sales should NOT be continued</i> )				
<input type="checkbox"/>	2. *Visually Impaired				
<input type="checkbox"/>	3. *Illiterate or limited command of local language <b>For illiterate customers:</b> – Offered non-ILAS only, except JADE <b>For customers with limited command of local language:</b> – Sales should NOT be continued				
	* Applicable to: • <b>Visually Impaired</b> • <b>Illiterate</b> who rejected companion <b>and</b> second frontline staff offer: A supervisor (DD / BM / PBM / BSM) joined the meeting to gauge customer's understanding				
	<table border="1" style="width: 100%;"> <tr> <td style="width: 70%;">Signature</td> <td style="width: 30%;">Name</td> </tr> <tr> <td></td> <td>Title</td> </tr> </table>	Signature	Name		Title
Signature	Name				
	Title				
<input type="checkbox"/>	4. Elderly (Attained age 65 or above)				
<input type="checkbox"/>	5. Customer whose education level is "Primary 6 or below" or equivalent				
<input type="checkbox"/>	6. First Time Investors – customer without any investment experience on risk products (e.g. UT / Bond / CD / Structured Products / Stocks / ILAS / MPF)				
<input type="checkbox"/>	7. Customers with limited means (total current assets < HKD50,000) or no regular source of income				
<input type="checkbox"/>	8. Customer disclosed changes in circumstances impacting time horizon (for example: customers in serious ill health) – Product recommended with maturity not longer than the volunteer-informed life expectancy of the customer				
<input type="checkbox"/>	9. Recently bereaved customers (bereavement occurred within 6 months)				
<input type="checkbox"/>	10. Customers in receipt of unexpected windfalls (occurred within 3 months)				
<input type="checkbox"/>	Higher Risk Sales Scenario(s) 1. Sales of products where on planned maturity the customer would be aged 75 or over, except sales of bonds to customer aged 64 or below. 2. Sales of any risk product to customer aged 75 or over.				

## PVC / HRS Post-Sale Manager Approval

<b>Note:</b> All PVC business must obtain supervisor or manager approval from DD / BM / PBM / BSM, who are licensed and accredited, within 2 business days (T+2) after the sales. Please refer to "PVC Sales Approval Form" to conduct the approval and sign in adjacent box.	<b>Signature</b> <table border="1" style="width: 100%;"> <tr> <td style="width: 70%;">Name</td> <td style="width: 30%;">Title</td> </tr> </table>	Name	Title
Name	Title		

## Staff Initial or Signature

<b>Signature</b>	<b>Name</b>
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If customer is aged 75 or above, endorsement from licensed BM/BSM/CSM/GBM is required.

Signature	Name
	Title