Account Opening Form and Customer Information Statement (Joint Account Holder)
開戶表格及客戶資料聲明書（聯名戶口持有人）

To :
致：

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
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 is applying for an account through this document)
（「相關滙豐金融公司」指客戶現正透過本文件申請在任何或所有上述公司開戶的公司）

Note :
注意：

1. The Customer is required to provide up-to-date, complete and accurate information to us in order for us to comply with the applicable laws and regulations and for the Customer to receive the appropriate financial services. This document will assist us in considering potentially suitable products for the Customer. The Customer's failure to provide information that is up-to-date, complete and accurate would materially affect our suitability assessment. The relevant HSBC Broking Companies accept no responsibility or liability as to the accuracy or completeness of the information given by the Customer. If insufficient information is provided by the Customer, we shall be unable to provide our services to the Customer.
   ALL INFORMATION PROVIDED IN THIS DOCUMENT WILL BE HELD IN ACCORDANCE WITH OUR LATEST DATA PRIVACY POLICY.
   客戶必須向本公司提供最新、完整及正確的資料，以便本公司能遵從適用法律及條例，使客戶能獲得恰當的金融服務。此文件將會協助本公司向客戶提供合適產品。若客戶所提供的資料不足，本公司將不能為客戶提供服務。如客戶未能提供最新，完整和準確的資料將會嚴重影響本公司作出合適性評估。相關滙豐金融公司不會為客戶提供的信息的準確性或完整性承擔任何責任或義務。若客戶所提供的資料不足，本公司將不能為客戶提供服務。
   本公司對於閣下在本文件內所提供的所有資料，將按本公司最新有關資料私隱政策處理。
2. For joint accounts, each joint account holder is required to fill in a separate "Account Opening Form and Customer Information Statement (Joint Account Holder)".
   每位其他聯名戶口持有人必需各自填寫一份「開戶表格及客戶資料聲明書（聯名戶口持有人）」。
3. Please complete in **Block Letters** and tick where applicable.
   請用**正楷**填寫，並在適當的地方加上剔號。
4. Information with shading must be completed. Please fill in "N/A" if not applicable
   陰影部分的資料必須填寫，如不適用, 請填寫"N/A"。
5. The results of the Customer Risk Profiling Questionnaire in Part II, including the Customer's assessed risk tolerance profile, will be derived from information the Customer provides to the relevant HSBC Broking Companies, and will only serve as a reference for the Customer's consideration when making his/her own investment decisions. The CPRQ and the results are not an offer or solicitation to buy or sell, or a recommendation of any product or service, and they should not be considered as investment advice. The Customer should also consider his/her own circumstances, including but not limited to his/her financial situation, investment experience and investment objectives, before making any investment decisions. The results of this CRPQ may be different from the result(s) of risk profile questionnaire(s) that he/she may have completed with other financial institutions within or outside the HSBC Group.
   本表格第 II 部分之客戶風險問卷的結果（包括客戶的投資風險承受取向）將從客戶提供給相關滙豐金融公司的資料中獲得，並僅作為客戶在作出他／她的投資決定時的參考。此客戶風險問卷及其結果將不構成要約或招攬買賣，或推薦任何產品或服務，亦不應被視為投資建議。客戶在做出任何投資決定之前，應該考慮自己的個人狀況，包括但不限於他／她的財務狀況，投資經驗和投資目標。此問卷的結果亦有可能與他／她於其他金融機構或滙豐集團內其他成員得出的風險承受取向結果不同。

I. Account Information 申請戶口資料 *(For Relationship Manager to complete)* *（由客戶經理填寫）*

1. Account Number 戶口號碼	
2. Name of the Account Holder(s) in English 戶口持有人英文姓名	

*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。

II. Customer Risk Profiling Questionnaire ("CRPQ") 客戶風險取向問卷

This Part is designed to help you consider your risk tolerance profile and the corresponding investment objective. It asks multiple choice questions that provide some indication of the risk tolerance for typical investors. It may not exactly match your actual attitude toward investment risk, but it may be taken as a reference to indicate the profile you may fit into.

In general, investing involves a trade-off between risk and return. Investments carrying a higher risk come with the potential of achieving more gains, but also a higher possibility of incurring considerable losses. It has been historically shown that investors who achieve higher returns have experienced correspondingly high fluctuations and losses.

這部分是為幫助您評估投資風險承受取向及對應的投資目標而設的。問卷中的多項選擇題能顯示典型投資者的風險承受能力。這部分會顯示符合您特性的投資風險取向以作參考，但未必與您的實際投資風險取向相符。

一般而言，投資通常是風險與回報的取捨。較高風險的投資可取得較高潛在收益，然而亦較容易招致相當的損失。獲得高回報的投資者往往承受的波動與損失風險較高。

1. What is the <u>highest level of investment loss in your portfolio</u> that you can tolerate?
您可接受<u>投資組合最多的虧損程度</u>是多少？

☐ a. No investment loss at all
不接受任何虧損
☐ b. 10% or below
10%或以下
☐ c. Over 10% up to 20%
多過 10%至 20%
☐ d. Over 20% up to 35%
多過 20%至 35%
☐ e. More than 35%
多過 35%

2. Investment value can go up and down over time. What is the <u>highest level of price fluctuation</u> that you are <u>willing to accept for a single investment</u>?
投資產品價格可升可跌，在<u>單項投資上</u>，您願意接受<u>最多的價格波動</u>是多少？

☐ a. Can move between +8% and -8%
上下波幅不超過 8%
☐ b. Can move between +35% and -35%
上下波幅不超過 35%
☐ c. Can move between +100% and -100%
上下波幅不超過 100%
☐ d. Can move beyond +100% and -100%
上下波幅超過 100%

3. Which of the following best describes your <u>investment goal</u> and <u>risk tolerance level</u>?
以下哪一項最切合您的<u>投資目標</u>及<u>風險承受水平</u>？

☐ a. To achieve return above short term fixed income rates, and buy products primarily for income generation, able to tolerate low risk of capital loss.
主要投資於穩定收入產品，以獲得比短期固定收益率高的回報，可承受較低資本損失。
☐ b. To achieve some capital growth, and buy products that strike a balance between income generation and capital gain, able to tolerate moderate risk of capital loss.
主要投資於有穩定收入及有資本增值潛力的產品，以獲得一些資本增長，可承受中等資本損失。
☐ c. To achieve capital growth, and buy products primarily to seek substantial capital gain rather than income generation, able to tolerate high risk of capital loss.
主要投資於有高資本增值潛力，而非穩定收入的產品，以獲得資本增長，可承受較高資本損失。
☐ d. To achieve very significant capital growth, and buy products primarily for aggressive capital gains, able to tolerate very high risk of capital loss which may exceed initial invested value.
主要投資於有極高資本增值潛力的產品，以獲得大幅資本增長，可承受極高度資本損失，甚至能承受虧損大於起初的投資本金。

II. Customer Risk Profiling Questionnaire (“CRPQ”) (Continued) 客戶風險取向問卷（續）

4. What is the most likely action you will take if the value of one of your investments goes down by 20%?
倘若您持有的單項投資價值下跌了 20%，您最有可能會採取哪一項行動？

☐ a. Sell all of the investment to stop loss
出售全部該項投資，以作止蝕
☐ b. Sell some of the investment
減持部分該項投資
☐ c. Do nothing
不採取任何行動
☐ d. Buy more at a lower price
趁價格下跌增持該項投資

5. Do you expect to have any liquidity needs from your account with relevant HSBC Broking Companies over the next 2 years?
在未來兩年，您是否需要從您相關滙豐金融公司的戶口提取資金以作周轉用途？

☐ a. I expect to withdraw funds from this account to support my liquidity needs frequently.
我預計需要從這個戶口提取資金以作頻密的周轉。
☐ b. I may withdraw a portion of funds from this account to support my liquidity needs from time to time.
我偶爾可能需要從這個戶口提取部分資金以作周轉。
☐ c. I may withdraw a portion of funds from this account to support my liquidity needs but only under unexpected circumstances.
我在特殊情況下，才可能從這個戶口提取部分資金以作周轉。
☐ d. I do not intend to use any of the funds in this account to support my liquidity needs.
我不打算使用這個戶口內的資金以作周轉。

6. What percentage of your liquid net worth are you able to set aside for investment? Note: Liquid net worth excludes real estate, automobile and insurance, etc.
您能夠從所有流動資產淨值中，撥出多少百分比用作投資？ 注意：流動資產並不包括物業、車輛及保險等。

☐ a. Less than 10%
少於 10%
☐ b. 10% to less than 30%
10%至少於 30%
☐ c. 30% to less than 50%
30%至少於 50%
☐ d. 50% or more
50% 或以上

7. Generally, investors with a longer investment time horizon have a higher capacity to take risk. Under general market conditions, how long do you intend to invest in the market?
一般而言，投資者的投資期越長，其風險承受能力亦較強。在一般市況下，您打算投資於金融市場多久？

☐ a. Less than 6 months
少於 6 個月
☐ b. 6 months to less than 1 year
6 個月至少於 1 年
☐ c. 1 to less than 3 years
1 年至少於 3 年
☐ d. 3 years or more
3 年或以上

II. Customer Risk Profiling Questionnaire ("CRPQ") (Continued) 客戶風險取向問卷（續）

<table>
<tr>
<td>Customer Risk Profiling Result
客戶風險取向結果</td>
<td>
<u>Conclusion 總結</u> (For Relationship Manager to complete) （由客戶經理填寫）
Based on the answers you have provided, your risk tolerance profile and corresponding investment objective is likely to be:
根據您所提供的答案，您的風險承受取向和對應的投資目標可能是：

Profile ___ with corresponding investment objective to have ____________________
(Please refer to the below table with definitions of different risk tolerance profile)
風險承受取向為 ___ ，對應的投資目標是 ____________________
（請參閱下表有關風險承受取向的定義）
<hr>
(Only applicable to customer whose above risk tolerance profile and corresponding investment objective are at a higher risk profile than the selected investment goal and level of risk in Question 3)
（僅適用於客戶以上所得的風險承受取向及對應投資目標相比第三題選取的投資目標及風險承受水平有著較高的風險取向）

☐ Not applicable.
不適用。
☐ I am aware that my risk tolerance profile and corresponding investment objective are at a higher risk profile than the investment goal and level of risk answered in Question 3.
我明白我的風險承受取向及對應投資目標相比於第三題選取的投資目標及風險承受水平有著較高的風險取向。
<hr>
For the conclusion:
有關總結：

☐ I <u>agree</u> with the above risk tolerance profile and corresponding investment objective.
我<u>同意</u>以上所得的風險承受取向及對應投資目標。
☐ I <u>disagree</u> with the above risk tolerance profile and corresponding investment objective. I believe my risk tolerance profile and corresponding investment objective should be:
我<u>不同意</u>以上所得的風險承受取向及對應投資目標。我相信我的風險承受取向及對應投資目標應該為：
(Please tick the appropriate one. This can only be <u>lower</u> than the risk tolerance profile in above conclusion, and will become the risk tolerance profile captured in the record of the relevant HSBC Broking Companies.)
（請勾選適當的投資目標。您只能選取較以上評估所得的投資風險取向<u>較低</u>的類型，相關滙豐金融公司將記錄此為您的風險承受取向。）

☐ No Risk Tolerance.
不具有投資風險承受能力。
☐ Low Risk Tolerance with corresponding investment objective to have regular income.
風險承受能力低，對應投資目標為定期收益。
☐ Medium Risk Tolerance with corresponding investment objective to have combination of regular income and capital gain.
風險承受能力中等，對應投資目標為定期收益與資本增值的組合。
☐ High Risk Tolerance with corresponding investment objective to have capital gain.
風險承受能力高，對應投資目標為資本增值。
<hr>
(Only applicable to existing customer of the relevant HSBC Broking Companies) If you have got a higher risk tolerance profile than previously, please provide below the reason(s) for which you believe to be:
（僅適用於相關滙豐金融公司的現有客戶）若您得到的風險承受取向結果比以往紀錄更高，原因是：

☐ Not applicable.
不適用。
☐ My financial situation has recently improved.
我的財務狀況近期有所改善。
☐ I can now invest over a longer time horizon.
我現在的投資期可以更長。
☐ I have a view on the investment market and am willing to increase my investment exposure.
我對投資市場有個人的看法，願意增加我的投資。
☐ I would like to take higher risk for higher potential return opportunities.
我願意承受更高風險，以獲得更高潛在回報的機會。
☐ Others (please specify):
其他（請註明）：
____
</td>
</tr>
</table>

II. Customer Risk Profiling Questionnaire ("CRPQ") (Continued) 客戶風險取向問卷（續）

<table>
<tr><th>Definitions of Risk Tolerance Profile
投資風險承受取向定義</th><th>Corresponding Investment Objective
對應的投資目標</th></tr>
<tr><td><u>0 - No Risk Tolerance (Knock-out) 不具有投資風險承受能力</u>
I do not want to take any investment risk as I cannot accept any investment loss.
本人不希望承受任何投資風險，因為本人無法承受任何投資損失。</td><td>Not Applicable
不適用</td></tr>
<tr><td><u>1 - Low Risk Tolerance 投資風險承受能力低</u>
I want investments to achieve a regular income only. I want to achieve a low level of return potential on investments and am generally comfortable with a low level of risk. I am willing to invest in liquid and income generating products, with a payout profile that is generally known upfront.
本人只希望透過投資獲得穩定收入。本人希望獲得較低水平的潛在投資回報，並願意承受低風險。本人願意投資在流動及有固定收益的產品，而此類產品的收益分派狀況大致可預知。</td><td>Regular income
穩定收入</td></tr>
<tr><td><u>2 - Medium Risk Tolerance 投資風險承受能力中等</u>
I want investments to achieve a combination of regular income and capital gain. I want to achieve a medium level of return potential on investments and am generally comfortable with a medium level of risk.
I understand that capital values can have some fluctuations and some of them may have some significant fluctuations and may fall below the original investment.
I am aware that most of these investments can be sold in the market within a reasonable time, but some of these investments may be subject to further price impact if sold in the market on short notice.
I am willing to invest in more volatile products that offer opportunities for capital gain. The income payout profile is not always known upfront, and there can be some uncertainties on the year-on-year payout.
本人希望透過投資獲得穩定收入及資本增值。本人希望獲得中等水平的潛在投資回報，並願意承受中等風險。
本人明白，資本價值可能有所波動，而有時可能會大幅波動，並可能下跌至低於原本的投資額。
本人知道，這些投資大部分可在合理時間內於市場上出售，但如若急於在市場上出售，當中部分投資的價值或會受到進一步影響。
本人願意投資在較大波幅而有資本增值潛力機會的產品。此類產品的收益分派狀況或不可預知及產品的按年收益分派可能存有不確定因素。</td><td>Combination of regular income and capital growth
穩定收入及有資本增值潛力的組合</td></tr>
<tr><td><u>3 - High Risk Tolerance 投資風險承受能力高</u>
I want investments to achieve capital gain. I want to achieve a high level of return potential on my investments and am generally comfortable with a high level of risk.
I understand that capital values can fluctuate significantly and may fall substantially below the original investment (including the possibility of a total loss of investment).
I am willing to invest in products with no income payouts and high risk of capital loss. These products may have a complex payout profile and can suffer from limited liquidity during difficult market conditions.
本人希望透過投資獲得資本增值。本人希望獲得高水平的潛在投資回報，並願意承受高風險。
本人明白，資本價值可能會大幅波動，而有可能跌至頗低於原本的投資額（包括可能損失全部投資）。
本人願意投資在並無收益分派及資本虧損風險較高的產品。此類產品可能具有複雜的收益分派狀況，並且其流動性在嚴峻市況下可能受到限制。</td><td>Capital growth
有資本增值潛力</td></tr>
</table>

II. Customer Risk Profiling Questionnaire ("CRPQ") (Continued) 客戶風險取向問卷（續）

Definitions of Risk Tolerance Profile 投資風險承受取向定義	Corresponding Investment Objective 對應的投資目標
<u>4 - Very High Risk Tolerance 投資風險承受能力極高</u> I want my investments to grow aggressively and earn the highest possible return. I want to maximize my return potential and am generally comfortable with maximized risk. I can accept huge negative fluctuations, ie capital values can fluctuate significantly below original investment (including the possibility of a loss which exceeds my/our principal invested and triggers a margin call when the market goes against my investment). I am willing to invest in products with high risk of capital loss. These products may have a complex payout profile which incorporates leverage and derivatives. These products may only be sold beyond a reasonable timeframe during difficult market conditions. 本人希望我的投資有極高財富增長以及獲得最高的投資回報。本人希望獲得最高水平的潛在投資回報，並願意承受最高風險。 本人可接受投資的大幅波動，例如：資本價值可能會大幅波動，而有可能跌至遠低於您原本的投資額（虧損甚至可能大於您原本的投資額，並觸發保證金追收通知）。 本人願意投資資本虧損風險較高的產品，當中包含槓桿原理及衍生工具，此類產品可能具有複雜的收益分派狀況。此類產品在嚴峻市況下未必能於合理時間範圍內出售。	Aggressive wealth growth 有極高財富增值潛力

III. CRPQ - Investment Product Knowledge and Experience Profile
客戶風險取向問卷 － 投資產品知識及經驗概況

Products **產品**	**Product Knowledge (Please go to Investment Experience if you have selected "Yes" under Product Knowledge)** **產品知識（如在產品知識下選擇「是」，請作答投資經驗）**		**Investment Experience (Please tick "Yes" if you have selected "Past trading experience" under Product Knowledge)** **投資經驗（如已在產品知識下選擇「過往交易經驗」，請選「是」）**	
	Have product knowledge? **是否擁有產品知識？**	**If yes, how was it obtained?** **如有，通過何種渠道獲得？**	**Have investment experience?** **是否擁有投資經驗？**	**If yes, please provide further information below** **如有，請提供以下資料**
Exchange Traded Securities, eg Equities, Physical ETF 交易所買賣證券例如：股票、實物資產交易所買賣基金	☐ No 否 ☐ Yes 是	☐ Related qualification 相關資格 ☐ Related work experience 相關工作經驗 ☐ Attended related trainings or courses 曾參加有關培訓或課程 ☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ____________________	☐ No 否 ☐ Yes 是	Past trading experience with ____________________ (Broker/Bank) for ___year(s) 過往與 ____________________ （經紀公司／銀行），長達________年的交易經驗
Plain Vanilla Bonds 普通債券	☐ No 否 ☐ Yes 是	☐ Related qualification 相關資格 ☐ Related work experience 相關工作經驗 ☐ Attended related trainings or courses 曾參加有關培訓或課程 ☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ____________________	☐ No 否 ☐ Yes 是	Past trading experience with ____________________ (Broker/Bank) for ___year(s) 過往與 ____________________ （經紀公司／銀行），長達________年的交易經驗

III. CRPQ - Investment Product Knowledge and Experience Profile (Continued)
客戶風險取向問卷 – 投資產品知識及經驗概況（續）

Complex Bonds*2 複雜債券*2 **(Please skip this if your answer to Knowledge in Plain Vanilla Bond is "NO")** **（如在普通債券知識中選擇「否」，請略過）**	☐ No 否 ☐ Yes 是	☐ Related qualification 相關資格 ☐ Related work experience 相關工作經驗 ☐ Attended related trainings or courses 曾參加有關培訓或課程 ☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ____________________	☐ No 否 ☐ Yes 是	Past trading experience with ____________________ (Broker/Bank) for ___year(s) 過往與 ____________________ （經紀公司／銀行），長達 ________年的交易經驗
Leveraged Foreign Exchange 槓桿式外匯	☐ No 否 ☐ Yes 是	☐ Related qualification 相關資格 ☐ Related work experience 相關工作經驗 ☐ Attended related trainings or courses 曾參加有關培訓或課程 ☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ____________________	☐ No 否 ☐ Yes 是	Past trading experience with ____________________ (Broker/Bank) for ___year(s) 過往與 ____________________ （經紀公司／銀行），長達 ________年的交易經驗
Precious Metals 貴金屬	☐ No 否 ☐ Yes 是	☐ Related qualification 相關資格 ☐ Related work experience 相關工作經驗 ☐ Attended related trainings or courses 曾參加有關培訓或課程 ☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ____________________	☐ No 否 ☐ Yes 是	Past trading experience with ____________________ (Broker/Bank) for ___year(s) 過往與 ____________________ （經紀公司／銀行），長達 ________年的交易經驗

*2 *Bonds with one or more special features (including, but not limited to, perpetual or subordinated bonds, or those with variable (eg step-up or step-down) or deferred interest payment terms, extendable maturity dates, or those which are convertible or exchangeable or have contingent write down or loss absorption features, or those with multiple credit support providers and structures).*
具有一項或多項以下特點組成的債券（包括（但不限於）屬永久證券或次級證券、具有浮息（如可上調或下調利率）或延遲派付利息條款、可延遲到期日、或屬可轉換或可交換性質或具有或然撇減或損失吸收特徵，或具備非單一信貸支持提供者及結構的債務證券）。

IV. CRPQ - Derivatives Knowledge and Experience Profile
客戶風險取向問卷 – 衍生工具產品投資知識及經驗概況

Do you have knowledge of derivatives? (Derivatives includes futures, options, warrants, callable bull/bear contracts, convertible bonds, synthetic exchange traded funds and structured products) **您是否擁有衍生工具產品知識？** （衍生工具包括交易所買賣的期貨／期權、認股權證、牛熊證、可轉換債券、合成交易所買賣基金和結構性產品）	☐ No 沒有 ☐ Yes, because (please choose one or more below): 有，因為（請選擇下列一項或多項）： ☐ Executed 5 or more transactions in derivatives within the past 3 years 於過去 3 年內曾執行 5 宗或以上的衍生工具產品交易 ☐ Gained work experience related to derivatives 工作經驗與衍生工具產品有關 ☐ Attended training or course on derivatives 曾參加有關衍生工具產品的培訓或課程 **(Please provide supporting evidence of knowledge of derivatives such as trading statements, training certificates or name cards etc.)** **（閣下必須提供支持證明文件，例如：交易結單、培訓證書及名片等，以證明所申報有關衍生工具投資的知識。）**

The following section is only applicable if you have answered "Yes" for having knowledge of derivatives.
以下部分僅適用於您已回答擁有衍生工具產品知識。

Product **產品**	**Product Knowledge (Please go to Investment Experience if you have selected "Yes" under Product Knowledge)** 產品知識（如在產品知識下選擇「是」，請作答投資經驗）		**Investment Experience (Please tick "Yes" if you have selected "Past trading experience" under Product Knowledge)** 投資經驗（如已在產品知識下選擇「過往交易經驗」，請選「是」）	
	Have product knowledge? 是否擁有產品知識？	**If yes, how was it obtained?** 如有，通過何種渠道獲得？	**Have investment experience?** 是否擁有投資經驗？	**If yes, please provide further information below** 如有，請提供以下資料
Exchange Traded Futures and Options (excluding equity options) 交易所買賣的期貨及期權（不包括股票期權）	☐ No 否 ☐ Yes 是	☐ Related qualification 相關資格 ☐ Related work experience 相關工作經驗 ☐ Attended related trainings or courses 曾參加有關培訓或課程 ☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ________________________	☐ No 否 ☐ Yes 是	Past trading experience with ______________________ (Broker/Bank) for ___year(s) 過往與 ______________________ （經紀公司／銀行），長達 ________年的交易經驗
Exchange Traded Equity Options 交易所買賣股票期權	☐ No 否 ☐ Yes 是	☐ Related qualification 相關資格 ☐ Related work experience 相關工作經驗 ☐ Attended related trainings or courses 曾參加有關培訓或課程 ☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： ________________________	☐ No 否 ☐ Yes 是	Past trading experience with ______________________ (Broker/Bank) for ___year(s) 過往與 ______________________ （經紀公司／銀行），長達 ________年的交易經驗

IV. CRPQ - Derivatives Knowledge and Experience Profile (Continued)
客戶風險取向問卷 － 衍生工具產品投資知識及經驗概況（續）

Structured Products 結構性產品	☐ No 否 ☐ Yes 是	☐ Related qualification 相關資格 ☐ Related work experience 相關工作經驗 ☐ Attended related trainings or courses 曾參加有關培訓或課程 ☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： __________________________	☐ No 否 ☐ Yes 是	Past trading experience with ________________________ (Broker/Bank) for ___year(s) 過往與 ________________________ （經紀公司／銀行），長達 ________年的交易經驗
Other Derivatives, eg Warrants, CBBC, Convertible Bonds and Synthetic ETF 其他衍生工具例如：認股權證、牛熊證、可轉換債券和合成交易所買賣基金	☐ No 否 ☐ Yes 是	☐ Related qualification 相關資格 ☐ Related work experience 相關工作經驗 ☐ Attended related trainings or courses 曾參加有關培訓或課程 ☐ Past trading experience 過往交易經驗 ☐ Others, please specify in below: 其他，請於下方註明： __________________________	☐ No 否 ☐ Yes 是	Past trading experience with ________________________ (Broker/Bank) for ___year(s) 過往與 ________________________ （經紀公司／銀行），長達 ________年的交易經驗

V. CRPQ - Key Financial Situation 客戶風險取向問卷 － 主要財務狀況

Annual Income from Employment 年工作收入	☐ HKD 港幣 0 ☐ HKD 港幣 500,001 – 1,000,000 ☐ HKD 港幣 2,000,001 – 3,000,000	☐ HKD 港幣 1 – 500,000 ☐ HKD 港幣 1,000,001 – 2,000,000 ☐ HKD 港幣>3,000,000
Estimated Liquid Net Worth*3 預計流動資產淨值*3	HKD 港幣____________________________________	

*3 *Exclusive of real estate, automobile and insurance.*
不包括物業，汽車及保險。

VI. Customer Identification and Personal Details 客戶身份及個人資料

<table>
<tr><td rowspan="2">1. Full Name in English
英文全名</td><td colspan="4">☐ Mr 先生 ☐ Mrs 太太 ☐ Miss 小姐 ☐ Ms 女士</td></tr>
<tr><td colspan="2">Surname 姓</td><td colspan="2">Given Name 名</td></tr>
<tr><td>2. Full Name in Chinese (if applicable)
中文全名（如適用）</td><td colspan="2">Surname 姓</td><td colspan="2">Given Name 名</td></tr>
<tr><td>3. Previous Name(s) and Alias in English (if applicable)
曾用英文姓名及英文別名
（如適用）</td><td colspan="2">Surname 姓</td><td colspan="2">Given Name 名</td></tr>
<tr><td>4. Previous Name(s) and Alias in Chinese (if applicable)
曾用中文姓名及中文別名
（如適用）</td><td colspan="2">Surname 姓</td><td colspan="2">Given Name 名</td></tr>
<tr><td rowspan="11">5. Details of Identification Document*4
身份證明文件資料*4</td><td rowspan="11">Type 種類</td><td rowspan="2">☐ Hong Kong Identity Card
香港身份證</td><td>☐ Permanent Resident
永久性居民</td><td>☐ Non-Permanent Resident
非永久性居民
(Please provide details of passport or other identification document below)
（請於以下提供護照／其他證明文件資料）</td></tr>
<tr><td>Number 號碼</td><td></td></tr>
<tr><td rowspan="2">☐ National Identification Document
國民身份證明文件</td><td>a. Place of issue 簽發地</td><td></td></tr>
<tr><td>b. Number 號碼</td><td></td></tr>
<tr><td rowspan="2">☐ Passport
護照</td><td>a. Place of issue 簽發地</td><td></td></tr>
<tr><td>b. Number 號碼</td><td></td></tr>
<tr><td rowspan="4">☐ Others
其他</td><td colspan="2">(Please state type of identification document and place of issue)
（請註明身份證明文件種類及簽發地）</td></tr>
<tr><td>a. Type of identification document
身份證明文件種類</td><td></td></tr>
<tr><td>b. Place of issue
簽發地</td><td></td></tr>
<tr><td>c. Number 號碼</td><td></td></tr>
<tr><td colspan="3"></td></tr>
<tr><td>6. Reasons for setting up account in Hong Kong (Not applicable to Permanent Resident HKID Holder)
在香港開設戶口的理由
（不適用於香港永久性居民身分證持有人）</td><td colspan="4">☐ I am interested in Investing in stock and other investments in Hong Kong
本人有興趣於投資香港股票或其他投資
☐ I am working in Hong Kong/managing businesses based in Hong Kong
本人在港工作／本人需要處理在港業務
☐ I wish to be supported by Relationship Managers stationed in Hong Kong
本人希望有專業經紀於香港接聽並處理在港的投資產品買賣
☐ Others (please specify):
其他（請說明）: ______________________________</td></tr>
<tr><td>7. Date of Birth (DD/MM/YYYY)
出生日期
（日／月／年）</td><td></td><td>8. Place of Birth
出生地</td><td></td><td>9. Nationality 國籍 (Country/Region)
（國家／地區）</td></tr>
</table>

**4 For customers opening an account with HSBC Broking Securities (Asia) Limited, please complete this item in accordance with the following order of priority which is (1) Hong Kong Identity Card; (2) National Identification Document and (3) Passport.*
若客戶於滙豐金融證券（亞洲）有限公司開設戶口，請根據（１）香港身份證；（２）國民身份證明文件以及（３）護照之優先次序填寫該項目。

VI. Customer Identification and Personal Details (Continued) 客戶身份及個人資料（續）

10. Multiple Nationalities 多重國籍 (Country/Region)（國家／地區）	☐ Yes 是	Nationality 2 (country/region) 國籍 2（國家／地區）		☐ No 否
		Nationality 3 (country/region) *(if applicable)* 國籍 3（國家／地區）*（如適用）*		
11. Education Level 教育程度	☐ Primary 小學 ☐ Secondary 中學 ☐ University or above 大學或以上	☐ Professional Qualification 專業資格 ☐ Others *(Please specify)* 其他*（請註明）* ____________		
12. Marital Status 婚姻狀況	☐ Single 未婚	☐ Married 已婚	☐ Divorced 離婚	☐ Widowed 鰥寡
13. Language Skills 語文能力	☐ English 英文	☐ Chinese 中文	☐ Others *(Please specify)* 其他*（請說明）* ____________	

14. Jurisdiction Tax of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") 稅務管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）

Please complete the following table indicating:
請提供以下資料，列明：

a. each country/region/jurisdiction where you are a **resident for tax purposes**; and
您作為稅務居民的國家／地區／稅務管轄區；及

b. your TIN for each country/region/jurisdiction indicated.
該國家／地區／稅務管轄區發給您的稅務編號。

If you are a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number (HKID).
如您是香港稅務居民，稅務編號是其香港身份證號碼。

If a TIN is unavailable, provide the appropriate reason A, B or C:
如沒有提供稅務編號，必須填寫合適的理由：

Reason A – The country/region/jurisdiction where you are a resident for tax purposes does not issue TINs to its residents.
理由 A – 您的國家／地區／稅務管轄區並沒有向其居民發出稅務編號。

Reason B – You are unable to obtain a TIN. Explain why you are unable to obtain a TIN if you have selected this reason.
理由 B – 您不能取得稅務編號。如選取這一理由，解釋您不能取得稅務編號的原因。

Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of tax residence do not require the TIN to be disclosed.
理由 C – 您毋須提供稅務編號。稅務管轄區的主管機關不需要您披露稅務編號。

Jurisdiction of Tax Residence 稅務管轄區	TIN 稅務編號	# Enter Reason A, B, or C if no TIN is available # 如沒有提供稅務編號，填寫理由 A、B 或 C	Please explain why you are unable to obtain a TIN if you have selected Reason B 如選取理由 B，請解釋不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

☐ (If you are an existing customer of any of the relevant HSBC Broking Companies) I confirm that the information which I previously provided in respect of Part VI of this form is true, correct and complete.
（如果您是任何相關滙豐金融公司的現有客戶）本人確認以前所提供本表格第 VI 部的資料均屬真實、正確和完備。

VI. Customer Identification and Personal Details (Continued) 客戶身份及個人資料（續）

14. Jurisdiction Tax of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") 稅務管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）	I acknowledge and agree that (i) certain information contained in this form is collected and may be kept by the relevant HSBC Broking Companies for the purpose of automatic exchange of financial account information, and (ii) such information and information regarding the account holder and any reportable account(s) may be reported by the relevant HSBC Broking Companies to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region ("IRD") and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112)("IRO"). 本人知悉及同意，相關滙豐金融公司可根據《稅務條例》（第 112 章）有關交換財務賬戶資料的法律條文，（i）收集此表格所載的某些資料並可備存作自動交換財務賬戶資料用途及（ii）把該等資料和關於戶口持有人及任何須申報賬戶的資料向香港特別行政區政府稅務局（「稅務局」）申報，從而把資料轉交到戶口持有人的稅務管轄區的稅務當局。 I certify that I am the account holder of all the account(s) currently held with the relevant HSBC Broking Companies by the individual identified in Part VI of this form. 本人證明，就有關本表格第 VI 部所指的個人現於相關滙豐金融公司持有的所有戶口，本人是戶口持有人。 I undertake to advise the relevant HSBC Broking Companies of any change in circumstances which affects the tax residency status of the individual identified in Part VI of this form or causes the information contained in Part VI and Part VII of this form to become incorrect, and to provide the relevant HSBC Broking Companies with a suitably updated self-certification form within 30 days of such change in circumstances. 本人承諾，如情況有所改變，以致影響本表格第 VI 部所述的個人的稅務居民身分，或引致本表格第 VI 部和第 VII 部所載的資料不正確，本人會通知相關滙豐金融公司，並會在情況發生改變後 30 日內，向相關滙豐金融公司提交一份已適當更新的自我證明表格。 **Note**: Please refer to section 50A of the IRO for the meaning of "reportable account" and "resident for tax purposes" used in this declaration. Please also visit the IRD website that sets out information relating to the implementation of automatic exchange of financial account information in Hong Kong: http://www.ird.gov.hk/eng/tax/dta_aeoi.htm **備註**：有關在這一聲明中 「須申報賬戶」 和「稅務居民」的含義，請參閱《稅務條例》第 50A 條。另請參閱稅務局網站 http://www.ird.gov.hk/chi/tax/dta_aeoi.htm 了解香港實施自動交換財務賬戶資料的詳情。 **Warning**: It is serious offence under the IRO if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. Heavy penalty may apply upon conviction. **警告**：根據《稅務條例》，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪可致重罰。

VII. Customer Contact Information 客戶聯絡資料

		Country/Region Code 國家／區域編號	Area Code 地區編號	Number 號碼
1. Contact Telephone Number 聯絡電話號碼 *(For overseas number, please provide Country/ Region Code and Area Code (if any))* *（如海外號碼，請提供國家／區域編號及地區編號（如有））*	a. Mobile1[*5] 手提電話 1[*5]			
	b. Mobile 2 *(if any)* 手提電話 2 *（如有）*			
	c. Residential *(if any)* 住宅 *（如有）*			
	d. Business *(if any)* 辦公室 *（如有）*			
2. E-mail Address[*6] 電郵地址[*6]				

3. Residential Address[*7] 住宅地址[*7]	Room/Flat 室	Floor 樓	Block 座	
	Name of Building 大廈名稱			
	Name of Estate 屋邨名稱			
	Number and Name of Street/Road 門牌號碼及街道名稱			
	District 地區	*(For Hong Kong address only)（只適用於香港地址）* ☐ Hong Kong 香港 ☐ Kowloon 九龍 ☐ New Territories 新界		
	Country/Region & Postal Code 國家／區域及郵區編碼	*(For overseas address only)（只適用於海外地址）*		
	Effective Date of Residential Address 住宅地址生效日期 (MM/YYYY) (月／年)	*Month* __________月 / Year ____________年		
4. Previous Address[*7] 前址[*7] *(if you have resided in the above residential address for less than 1 year)* *（如居於現址少於一年）*	Room/Flat 室	Floor 樓	Block 座	
	Name of Building 大廈名稱			
	Name of Estate 屋邨名稱			
	Number and Name of Street/Road 門牌號碼及街道名稱			
	District 地區	*(For Hong Kong address only)（只適用於香港地址）* ☐ Hong Kong 香港 ☐ Kowloon 九龍 ☐ New Territories 新界		
	Country/Region & Postal Code 國家／區域及郵區編碼	*(For overseas address only)（只適用於海外地址）*		

**5 Mandatory field for customers applying for digital trading services.*
若客戶申網上交易服務，此項必須提供。

**6 Mandatory field for customers opening accounts with HSBC Broking Futures (Asia) Limited or e-mail correspondence (as applicable) or applying for digital trading services.*
若客戶於滙豐金融期貨（亞洲）有限公司開設戶口或電郵通訊（如適用）或申請網上交易服務，此項必須提供。

**7 PO Box not accepted.*
不接受郵政信箱。

VII. Customer Contact Information (Continued) 客戶聯絡資料（續）

5. Permanent Address*7 永久地址*7	☐ Same as Residential Address 與住宅地址相同		
	Room/Flat 室	Floor 樓	Block 座
	Name of Building 大廈名稱		
	Name of Estate 屋邨名稱		
	Number and Name of Street/Road 門牌號碼及街道名稱		
	District 地區	*(For Hong Kong address only)（只適用於香港地址）* ☐ Hong Kong 香港 ☐ Kowloon 九龍 ☐ New Territories 新界	
	Country/Region & Postal Code 國家／區域及郵區編碼	*(For overseas address only)（只適用於海外地址）*	
6. Business Address*7 辦公室地址*7	Room/Flat 室	Floor 樓	Block 座
	Name of Building 大廈名稱		
	Number and Name of Street/Road 門牌號碼及街道名稱		
	District 地區	*(For Hong Kong address only)（只適用於香港地址）* ☐ Hong Kong 香港 ☐ Kowloon 九龍 ☐ New Territories 新界	
	Country/Region & Postal Code 國家／區域及郵區編碼	*(For overseas address only)（只適用於海外地址）*	
7. Correspondence Address 通訊地址	*(Contract notes, daily activity statements, monthly activity statements, and other correspondence (as applicable) issued by the relevant HSBC Broking Companies shall be sent to the Correspondence Address of the Principal/Sole Account Holder, with immediate effect and until further notice. However, Customers who are registered for receiving eStatement/eAdvice will not receive any contract notes or activity statements by mail.)* *（相關滙豐金融公司發出的成交單據、日結單、月結單及其他通訊（如適用）將郵寄至第一／獨立戶口持有人，由即日起生效直至另行通知。客戶登記電子結單／電子結單備註將不經郵遞收取成交單據及結單。）*		
	☐ Same as Residential Address 與住宅地址相同 ☐ Same as Permanent Address 與永久地址相同	☐ Same as Business Address 與辦公室地址相同	☐ Same as the Correspondence Address of the Principal/Sole Account Holder 與第一／獨立戶口持有人通訊地址相同
	Room/Flat 室	Floor 樓	Block 座
	Name of Building 大廈名稱		
	Name of Estate 屋邨名稱		
	Number and Name of Street/Road 門牌號碼及街道名稱		
	District 地區	*(For Hong Kong address only)（只適用於香港地址）* ☐ Hong Kong 香港 ☐ Kowloon 九龍 ☐ New Territories 新界	
	Country/Region & Postal Code 國家／區域及郵區編碼	*(For overseas address only)（只適用於海外地址）*	
	Address in Chinese 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. *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。*		

**7 PO Box not accepted.*
不接受郵政信箱。

VIII. Customer Employment Information 客戶職業資料

<table>
<tr><td rowspan="9">1. Employment Status
職業狀況
(Please select one from Part A and Part B) (if applicable)
（請從甲部及乙部各選擇一項）（如適用）</td><td colspan="3">Part A 甲部</td><td colspan="3">Part B 乙部</td></tr>
<tr><td colspan="3">☐ a. Self-Employed 自僱</td><td colspan="3">☐ i. Business Owner 東主 ☐ ii. Sole Trader 獨資經營者</td></tr>
<tr><td colspan="3">☐ b. Full-time Employed 全職</td><td colspan="3">☐ i. Employee 僱員 ☐ ii. Key Controller[*7] 主要管理人[*8]</td></tr>
<tr><td colspan="3">☐ c. Part-time Employed 兼職</td><td colspan="3">☐ i. Employee 僱員 ☐ ii. Key Controller[*7] 主要管理人[*8]</td></tr>
<tr><td colspan="3">☐ d. Not Currently Employed 非在職</td><td colspan="3"></td></tr>
<tr><td colspan="3">☐ e. Housewife 家庭主婦</td><td colspan="3"></td></tr>
<tr><td colspan="3">☐ f. Student 學生</td><td colspan="3"></td></tr>
<tr><td colspan="3">☐ g. Retired 退休</td><td colspan="3"></td></tr>
<tr><td colspan="6">For Self-Employed, Full-time Employed or Part-time Employed Customers, please also complete the below Question 2 to Question 5.
如客戶職業狀況為自僱／全職／兼職，請繼續回答問題 2 至問題 5。
For Customer as the Key Controller/Sole Trader or Business Owner, please also complete Question 6 & Question 7.
如客戶為主要管理人／獨資經營者／東主，請繼續回答問題 6 至問題 7。</td></tr>
<tr><td>2. Occupation [*9]
職業[*9]</td><td></td><td>3. Job Title (if applicable)
工作職位（如適用）</td><td></td><td>4. Years of Employment
受僱年期</td><td></td></tr>
<tr><td rowspan="2">5. Employer/Business[*9]
僱主／公司[*9]
(Please select one only from Part b that best describes your industry)
(請從 b 部選擇一項最能描述你的業務)</td><td colspan="5">a. Name 名稱</td></tr>
<tr><td colspan="5">b. Industry 業務

☐ Amusement & recreation Services 遊樂園及康樂活動
☐ Business Services 商用服務
☐ Charity (Non-governmental bodies) 慈善組織
☐ Communications 電訊
☐ Construction 建築
☐ Engineering 工程
☐ Finance[*8]/Insurance 金融[*8]／保險
☐ General secondary education 中學
☐ Hairdressing & Beauty 理髮及美容
☐ Health Care 醫療服務
☐ Higher education & University 大學及專上課程
☐ Hotel/Boarding Houses 酒店／旅館
☐ Import/Export 出入口
☐ Industrial 工業
☐ Legal 法律
☐ Leisure & Entertainment 娛樂
☐ Logistics 物流
☐ Manufacturing 製造
☐ Personal/Household Services 個人／家居服務
☐ Primary & Pre-primary Education 小學及學前教育
☐ Public Services 公共服務
☐ Real Estate 地產
☐ Restaurants 飲食
☐ Retail 零售
☐ Science and Technology 科學及資訊科技
☐ Sports Activities 體育活動
☐ Tech & Vocational secondary education 職業及專業教育
☐ Transport 運輸
☐ Travel & Tourism 旅遊
☐ Union & Organizations 工會/組織活動
☐ Utilities (Electricity) 公用事業（電力）
☐ Utilities (Gas) 公用事業（煤氣）
☐ Utilities (Water) 公用事業（水務）
☐ Wholesale 批發

☐ Others (please specify) 其他（請註明）
____________________</td></tr>
<tr><td>6. Business Main Location
業務主要地區</td><td>City 城市</td><td>Country/Region 國家／地區</td><td colspan="2">7. Business Earnings in the last financial year
上個財政年度的業務收益</td><td>HKD 港幣：
____________________</td></tr>
</table>

*8 *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 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。

*9 *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）。

IX. Customer Financial Profile 客戶財政概況

1. Anticipated Account Activity 預計戶口活動

a. Estimated amount of deposit for trading/value of financial instruments transferred to the relevant HSBC Broking Companies in the coming 12 months 預計首十二個月用作交易的存款／存入金融工具價值：
HKD 港幣 ______________

b. Do you expect to make/receive cross-border fund transfer in the coming 12 months?
閣下是否有需要在將來十二個月跨境匯入／出款項？

☐ No 沒有

☐ Yes 有 *(Please provide details below)（請於以下提供資料）*

Details 資料	Transfer in 匯入	Transfer out 匯出
Total Amount 總額	HKD 港幣	HKD 港幣
Total Number of Transfer 總數量		
Purpose 用途		
Country /Region *(Please declare all)* 國家／地區 *（請申報所有）*		

2. Method(s) of Fund Transfer 資金存入途徑

(Please choose one or more below)（請選擇下列一項或多項）

☐ Cheque deposit 支票存款　☐ Bank transfer 銀行匯款　☐ Wire transfer 電匯

☐ Others *(Please specify)* 其他 *（請註明）*

____

3. Initial Source of Wealth 初始財富來源 *(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）*

(Please choose one or more below)（請選擇下列一項或多項）

Details 資料	Country/Region of Source of Wealth *(Please declare all sources)* 財富來源國家／地區 *（請申報所有來源）*	
	Primary/Main 主要	Others 其他
☐ Earnings from Business Interests 商業／公司收益		
☐ Earnings from Work 工作收入		
☐ From Spouse/Partner 由配偶／伴侶給予		
☐ Personal Savings 個人儲蓄		
☐ Investment Return (Earning/Income)/Investment Matured 投資收益（盈利／收入）／到期投資		
☐ Inheritance 資產繼承		
☐ Sale of Assets (eg Property, Business Ownership) 資產轉售（如物業、所持有的公司）		
☐ Rental Income 租金收入		
☐ Others *(Please specify)* 其他 *（請註明）* ______________________		

IX. Customer Financial Profile (Continued) 客戶財政概況（續）

<table>
<tr><td rowspan="12">4. Ongoing Source of Wealth
往後財富來源
(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）</td><td colspan="3">☐ Same as Initial Source of Wealth 與初始財富來源相同

(Please choose one or more below)（請選擇下列一項或多項）</td></tr>
<tr><td rowspan="2">Details 資料</td><td colspan="2">Country/Region of Source of Wealth
(Please declare all sources)
財富來源國家／地區（請申報所有來源）</td></tr>
<tr><td>Primary/Main 主要</td><td>Others 其他</td></tr>
<tr><td>☐ Earnings from Business Interests 商業／公司收益</td><td></td><td></td></tr>
<tr><td>☐ Earnings from Work 工作收入</td><td></td><td></td></tr>
<tr><td>☐ From Spouse/Partner 由配偶／伴侶給予</td><td></td><td></td></tr>
<tr><td>☐ Personal Savings 個人儲蓄</td><td></td><td></td></tr>
<tr><td>☐ Investment Return (Earning/Income)/Investment Matured
投資收益（盈利／收入）／到期投資</td><td></td><td></td></tr>
<tr><td>☐ Inheritance 資產繼承</td><td></td><td></td></tr>
<tr><td>☐ Sale of Assets (eg Property, Business Ownership)
資產轉售（如物業、所持有的公司）</td><td></td><td></td></tr>
<tr><td>☐ Rental Income 租金收入</td><td></td><td></td></tr>
<tr><td>☐ Others (Please specify) 其他（請註明）

____</td><td></td><td></td></tr>
</table>

X. Collection and Use of Personal Data 個人資料的收集和使用

I confirm that I have read and understand the latest data privacy policy ("the Policy"), a copy of which has been given to me, and I understand and agree that my personal data may be transferred and used in accordance with the Policy.
本人確認本人已閱讀並理解關於已提供予本人最新資料私隱政策（以下簡稱「該政策」）之副本，並明白及同意本人所提供的個人資料可能會根據該政策被轉移及使用。

Opt-out from the use of personal data in direct marketing 不選擇個人資料被用作直接銷售

☐ I do not wish the relevant HSBC Broking Companies to use my personal data in direct marketing and/or to provide my personal data to any other persons for their use in direct marketing.
本人不希望本人的個人資料被相關滙豐金融公司用作直接銷售及／或將本人的個人資料提供予任何其他人士作直接銷售。

This request is for accounts with the relevant HSBC Broking Companies only. If you wish to indicate whether or not to receive direct marketing contact or information from Commercial Banking, Private Banking or other business lines with which you have banking relationships, you must complete a separate form. Please contact the relevant HSBC Broking Companies for details. The above represents your present choice whether or not to receive direct marketing contact or information. This replaces any choice communicated by you to the relevant HSBC Broking Companies prior to this request.
以上要求只適用於在相關滙豐金融公司的戶口。客戶如希望指出是否接收來自工商金融、私人銀行及與其他業務類別有銀行業務關係的直接銷售聯繫或資料，必須填寫額外表格。詳情請聯繫相關滙豐金融公司。以上代表閣下現時對於接收直接銷售的聯繫或資料與否的選擇。此要求會取代閣下之前曾經向相關滙豐金融公司作出的任何選擇。

Note:
注意：
Your above choice applies to the direct marketing of the classes of products, services and/or subjects as set out in the Policy. Please also refer to the Policy on the kinds of personal data which may be used in direct marketing. This opt-out does not affect our investment advisory service (in accordance with your selection for Investment Advisory Service in Section XIII. Optional Services of Account Opening Form and Customer Information Statement (Individual/Joint Account)) or client engagement activities (eg inviting selected customers to attend seminars), during which we may market products and services to you. If you wish to opt-out from either of these, please contact your Relationship Manager.
閣下以上的選擇適用於直接銷售在該政策內列明的各類產品，服務及／或項目。另外，請參考該政策內有關可能會用在直接銷售的個人資料類別。選擇個人資料不作直接促銷用途不會影響我們的投資諮詢服務（根據閣下於開戶表格及客戶資料聲明書（個人／聯名戶口）XIII 部自選服務有關是否收取投資顧問服務的選擇）或客戶參與活動（例如邀請特選客戶參加研討會），透過此服務或活動我們可能會向您推銷產品和服務。如果您希望退出其中任何一項，請聯繫您的客戶經理。

XI. Customer Declaration 客戶聲明

Relationship Declaration 關係申報

Are you a ♦relative of any of the directors/♦employee/♦controller/♦minority shareholder controller of The Hongkong and Shanghai Banking Corporation Limited ("HSBC"), its branches, subsidiaries or affiliates in Hong Kong or overseas (eg Hang Seng Bank, the relevant HSBC Broking Companies), or other entities over which HSBC is able to exert control?
申請人是否為香港上海滙豐銀行有限公司（「滙豐」）、其分行、其附屬公司或其聯屬公司不論在香港境內或境外（例如恒生銀行，相關滙豐金融公司），或滙豐能對其行使控制的其他實體的董事／♦僱員／♦控權人／♦小股東控權人的♦親屬？

☐ No, and I agree to notify the relevant HSBC Broking Companies promptly in writing if this information is no longer up-to-date, complete and accurate
否，倘這些資料不再真實正確，本人同意儘速以書面通知相關滙豐金融公司

☐ Yes *(Please state the full name of your relative)*:
是 *（請填上親屬的名字）*：

Full Name in English 英文全名	Relationship 關係

Are you a director/employee/controller/minority shareholder controller of HSBC, its branches, subsidiaries or affiliates in Hong Kong or overseas, or other entities over which HSBC is able to exert control?

申請人是否為滙豐、其分行、其附屬公司或其聯屬公司不論在香港境內或境外， 或滙豐能對其行使控制的其他實體的董事／僱員／控權人／小股東控權人？

☐ No, and I agree to notify the relevant HSBC Broking Companies promptly in writing if this information is no longer up-to-date, complete and accurate
否，倘這些資料不再真實正確，本人同意儘速以書面通知相關滙豐金融公司

☐ Yes *(Please state your staff number)*:
是 *（請填上職員號碼 ）*：

Staff Number 職員號碼

I confirm that I have obtained consent from the individuals listed above for the provision of their information to the relevant HSBC Broking Companies and HSBC, its branches and its subsidiaries for the purpose of enabling the relevant HSBC Broking Companies and HSBC to comply with the Banking Ordinance.
本人確認本人已獲得以上提及的人士的同意提供其資料給相關滙豐金融公司及滙豐、其分行及其附屬公司以便相關滙豐金融公司及滙豐能夠遵守《銀行業條例》。

I hereby authorise the relevant HSBC Broking Companies and HSBC's branches and subsidiaries to disclose to HSBC information relating to the unsecured facilities granted by them to the above persons for the purpose of verifying the information provided by me.
本人授權相關滙豐金融公司及滙豐的分行及附屬公司披露有關以上提及的人士於滙豐的分行及附屬公司持有的無保証融通的資料以便核實本人提供的資料。

Note: ♦You may request the relevant HSBC Broking Companies for the definitions of terms used in this section and a list of the abovementioned entities.
注意： ♦閣下可向相關滙豐金融公司查詢有關定義及以上所提及機構的名單。

Relationship with other Account Holder(s) 與其他戶口持有人的關係		
Related Accounts 關連賬戶	Do you, does your spouse or any company controlled by you or jointly with your spouse (with 35% or more voting rights) maintain any other account(s) with relevant HSBC Broking Companies? If Yes, please provide details: 閣下／ 閣下之配偶／任何閣下單獨或與配偶共同控制之公司（持有 35% 或以上之投票權）現時是否持有相關滙豐金融公司之賬戶？如閣下選擇「是」， 請提供賬戶詳細資料：	☐ Yes 是 ☐ No 否
	Account Name 賬戶名稱：	Account No.賬戶號碼：
	Account Name 賬戶名稱：	Account No.賬戶號碼：
	Account Name 賬戶名稱：	Account No.賬戶號碼：

XI. Customer Declaration (Continued) 客戶聲明（續）

Signature of Joint Account Holder 聯名戶口持有人簽署 (Applicable to Joint Account) （適用於聯名戶口） **X** ______________________________ Name of Joint Account Holder: 聯名戶口持有人姓名： Date: 日期：

Note: The English version shall prevail in the event of any inconsistency between the English and Chinese versions of this Account Opening Form and Customer Information Statement.

註： 本開戶表格及客戶資料聲明書之中英文本如有任何歧義，概以英文本為準。

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