滙豐
HSBC

Personal Investment Account Opening Form
私人投資戶口開戶表

Date 日期	day 日 / month 月 / year 年

For Bank Use Only 銀行專用	☐ FATCA

Note 注意： 1. 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。
2. Information with shading must be completed. 陰影部分的資料必須填寫。
3. Your request will normally be processed within 3 working days (excluding Saturday, Sunday and public holiday) upon receipt of your form.
在一般情況下，本行將在收到您的申請表後三個工作天內（不包括星期六、日及公眾假期）處理您的申請。

Requested Account Type 申請戶口類別

Account Type 戶口類別	☐ Unit Trusts 單位信託基金 ☐ Securities 證券

Personal Information 個人資料

Account Holder 戶口持有人	☐ Principal/Sole 第一/ 獨立 ☐ Joint 聯名		
Identification Document Details 身分證明文件資料	Type 種類： ☐ Hong Kong Identity Card *(I)* 香港身分證 ☐ Passport *(P)* 護照 (Place of Issue 簽發地點) ☐ Other *(X)* 其他 Number 號碼：		
Full Name in English 英文全名	☐ Mr 先生 *(M)* ☐ Mrs 太太 *(R)* ☐ Miss 小姐 *(I)* ☐ Ms 女士 *(S)* ☐ Other 其他 Surname 姓 / Given Name 名 / Other Name 其他名		
Name in Chinese 中文姓名 *(if applicable 如適用）*			
Chinese Commercial Code 中文姓名電碼			
Gender 性別	☐ Male 男 *(M)* ☐ Female 女 *(F)*		
Date of Birth 出生日期	*(day/month/year 日/ 月/ 年)*	Place of Birth 出生地區	
Multiple Nationalities (Countries/Regions) 多重國籍（國家/ 地區）	☐ Yes 是 ☐ No 否	Nationality (Country/Region) 1 國籍（國家/ 地區）1	
Nationality (Country/Region) 2 *(if any)* 國籍（國家/ 地區）2 *（如有）*		Nationality (Country/Region) 3 *(if any)* 國籍（國家/ 地區）3 *（如有）*	

>> ASV-NSC

Personal Information (Continued) 個人資料（續）

	Jurisdiction of Tax Residence 稅務管轄區	TIN 稅務編號 (*If you are a tax resident of Hong Kong, the TIN is the Hong Kong Identification Card Number. 如您是香港稅務居民，稅務編號是其香港身份證號碼。*)	*Reason for no TIN 沒有提供稅務編號理由 (*Reason A, B or C 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
Jurisdiction of Tax 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」）	(1)			
	(2)			
	(3)			
	(4)			
	(5)			

* **Reason A** – The jurisdiction where you are a resident for tax purposes does not issue TINs to its residents.
理由 A – 您的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。

Education Level 教育程度	☐ Primary or below *(P)* 小學或以下 ☐ Completed Form 1-3 *(F)* 完成中一至中三 ☐ Completed Secondary *(S)* 中學畢業 ☐ Post-Secondary *(M)* 預科 ☐ University or above *(U)* 大學或以上 ☐ Other *(X)* 其他：
Marital Status 婚姻狀況	☐ Single 未婚 *(S)* ☐ Married 已婚 *(M)* ☐ Divorced 離婚 *(D)* ☐ Widowed 鰥寡 *(W)*

Employment Information 職業資料

Employment Status 職業狀況	☐ + Self-Employed 自僱 *(S)* ☐ + Full-time Employed 全職 *(F)* ☐ + Part-time Employed 兼職 *(P)* ☐ Student 學生 *(T)* ☐ Housewife 主婦 *(H)* ☐ Retired 退休 *(R)* ☐ Not Currently Employed 非在職 *(X)* + *For self-employed, full-time employed or part-time employed Customers, please also complete the employment information below. 自僱，全職或兼職的客戶，亦須填寫下列的職業資料。*
Occupation 職業	
Job Title *(if applicable)* 工作職位 *（如適用）*	
Employment Start Date *(if applicable)* 任職日期 *（如適用）*	_______ *(month/year 月／年)*
Employer/Business 僱主／公司	Name 名稱： Industry 業務： ☐ Manufacturing 製造 ☐ Import/Export/Wholesale 出入口／批發 ☐ Finance/Insurance 金融／保險 ☐ Construction 建築 ☐ Communications 通訊 ☐ Retail 零售 ☐ Business Services 商用服務 ☐ Transport 運輸 ☐ Real Estate 地產 ☐ Restaurants 飲食 ☐ Public Services 公共服務 ☐ Hotel/Boarding Houses 酒店／旅館 ☐ Personal and Household Services 個人／家居服務 ☐ Amusement & Recreation Services 遊樂園及康樂活動 ☐ Primary & Pre-primary Education 小學及學前教育 ☐ General Secondary Education 中學 ☐ Tech & Vocational Sec Edu 職業及專業教育 ☐ Higher Edu & University 大學及專上課程 ☐ Engineering 工程 ☐ Hairdressing & Beauty 理髮及美容 ☐ Health Care 醫療服務 ☐ Union & Organisations 工會／組織活動 ☐ Legal 法律 ☐ Leisure & Entertainment 娛樂 ☐ Charity (Non Govt Bodies) 慈善活動 ☐ Travel & Tourism 旅遊 ☐ Utilities (Electricity) 公用事業（電力） ☐ Utilities (Gas) 公用事業（煤氣） ☐ Utilities (Water) 公用事業（水務） ☐ Science and Technology 科學及資訊科技 ☐ Industrial 工業 ☐ Logistics 物流 ☐ Sports Activities 體育活動 ☐ Other *(please specify)* 其他 *（請說明）*：
Monthly Salary (HKD) 月薪（港幣）	☐ below 5,000 以下 *(0)* ☐ 5,000 - 9,999 *(1)* ☐ 10,000 - 14,999 *(2)* ☐ 15,000 - 19,999 *(3)* ☐ 20,000 - 29,999 *(4)* ☐ 30,000 - 49,999 *(5)* ☐ 50,000 - 69,999 *(6)* ☐ 70,000 - 99,999 *(7)* ☐ 100,000 - 199,999 *(8)* ☐ 200,000 or above 或以上 *(9)*

Contact Information 聯絡資料

Note 注意： 1. ⌘ For overseas number, please add country/region code and area code (if any) in front of the number.
如海外號碼，請於號碼前加入國家/ 區域編號及地區編碼（如有）。

2. ^ Please provide your personal mobile number / email address that is exclusively for your own use to ensure that your confidential account or transaction related information is delivered to the mobile number / email address that is accessible by you only.
請提供您個人專用的手提電話號碼/ 電郵地址，以確保有關閣下戶口或交易的信息被傳送到只能被閣下接收及開啟的手提電話號碼/ 電郵地址。

3. Please maintain a valid mobile phone number record with the Bank in order to receive mandatory notification of trade execution via SMS, or you will not be able to trade online or via mobile apps.
您必須於本行維持一個有效的流動電話號碼記錄，以便收取本行於您交易完成後向您發送執行交易的必要通知短訊，否則您便不能於網上進行交易。

4. We recommend you to provide a valid personal email address to ensure that you can timely receive email notifications e.g. log-on notifications emails, eAdvice from the Bank. 我們建議您提供有效的個人電郵地址，以確保您可不時收取本行發出的各項電郵通知，例如登入通知、電子通知書。

5. Please note that online trading services will not be fully available to you until the next day after your investment account is activated. Alternatively, you may consider using other HSBC channels to place your trading order on the first day of account activation (if needed). For the avoidance of doubts, for any trading order placed via other channels, you are able to cancel it online or via mobile apps on the first day of account activation but you will not receive SMS notification for the cancellation orders.
請注意您需於啟動投資戶口的第二天才可完全使用網上交易服務。開戶首天請考慮使用滙豐的其他平台進行交易（如需要）。為免生疑問，您仍可於開戶首天透過網上理財或流動應用程式取消經滙豐的其他平台進行的任何投資交易，但您將不會收到該取消指示的短訊提示。

6. ℵ Please provide the residential address proof. 請提供住宅地址證明。

⌘ Contact Telephone Number 聯絡電話號碼	Residential 住宅	Office *(if any)* 公司*（如有）*	^ Mobile Phone/Pager 手提電話/ 傳呼機
⌘ Fax Number *(if any)* 傳真號碼*（如有）*	Residential 住宅	Office 公司	
^ Email Address 電郵地址			
ℵ Residential Address 住宅地址	For Joint Account Holder, is it the same as the Principal/Sole Account Holder's record? 如屬聯名戶口持有人，是否與第一/ 獨立戶口持有人的紀錄相同？ ☐ Yes 是 ☐ No *(Please complete the details below)* 否*（請填寫下列資料）*		Checked and Copied *(Initial)*
• Room/Flat/Floor/Block 室/ 樓/ 座	☐ Room 室 ☐ 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 門牌號數及街道名稱			
• District 地區		☐ Hong Kong 香港 ☐ Kowloon 九龍 ☐ New Territories 新界	
• For Overseas Address Only 只適用於海外地址 - Country/Region and Postal Code 國家/ 地區及郵區編碼			

Account Opening Information 開戶資料

Correspondence Address 通訊地址	Correspondence and statement to be sent to Principal/Sole Customer/Account Holder's 通訊及結單寄往第一/ 獨立客戶/ 戶口持有人的 ☐ Residential Address 住宅地址 ☐ Work Address 工作地址 ☐ Other Address 其他地址 *(Please complete the "Personal Account/Investment Account Opening Form - Supplementary Customer Information", which shall at all times forms part of the Personal Investment Account Opening Form. 請填寫「私人戶口/ 投資戶口開戶表－其他個人資料」，此附頁是私人投資戶口開戶表的一部分。)*
Other Instruction 其他指示	Dividend and Other Unit Trusts/Securities-related Payment Disposal Instruction 處理股息及其他與單位信託基金/ 證券有關的款項指示 ☐ To be credited/debited to 存入/ 支取自 ☐ Current 往來 ☐ Savings 儲蓄 Account No. 戶口號碼 : ☐ Other 其他 :

Questionnaire 問卷

Investment Experience 投資經驗	Types of product(s) you have previously invested (Please choose one or more) 您曾經投資過的產品（請選擇下列一項或多項） ☐ Bonds/CD 債券/ 存款證 ☐ Stocks 股票 ☐ Unit Trusts 單位信託基金 ☐ Futures & Options 期貨及期權 ☐ Derivatives 衍生工具 ☐ None 沒有 Years of Investment Experience 投資年期 ☐ Less than 1 year 少於一年 ☐ 1 - 4 years 一至四年 ☐ 5 - 10 years 五至十年 ☐ More than 10 years 十年以上
Investment Objectives 投資目標	☐ Speculation 投機 ☐ Capital Appreciation 資本增值 ☐ Regular Income 定期收入
Financial Situation 財務狀況	☐ Less than or equal to HKD500,000 少於或等於港幣 500,000 ☐ HKD500,001 to HKD1,000,000 港幣 500,001 至港幣 1,000,000 ☐ HKD1,000,001 to HKD5,000,000 港幣 1,000,001 至港幣 5,000,000 ☐ HKD5,000,001 or above 港幣 5,000,001 或以上
Note *注意*	In order to open an Investment Services Account and to comply with regulatory requirements, please complete the above questionnaire. 為開立投資戶口及符合法規要求，請回答以上問卷。

Deposit Protection Scheme 存款保障計劃

Please note that Certificates of Deposit are not protected deposits and are not protected by the Deposit Protection Scheme in Hong Kong. Please acknowledge receipt and your understanding of the foregoing by signing below. 請注意存款證並不屬於受保障存款及不會受香港的存款保障計劃保障。請按下簽署以作確認明白上述的資料。

Declaration 聲明

1. I/We have read, understood and agree to be bound by all the relevant terms and conditions issued by The Hongkong and Shanghai Banking Corporation Limited (HSBC) governing the above account(s) (see #Schedule) and acknowledge receipt of a copy.
2. I/We hereby confirm that the information given above is correct and complete and authorise the Bank to verify the same from any source it may deem fit. I/We also undertake to notify the Bank immediately of any changes to the above information.
3. For Securities account customers:
   a. I/We authorise and instruct HSBC to elect Hong Kong Dollars as the currency of denomination of any cash dividend payable in relation to securities held on my/our behalf and to pay such cash dividend to the settlement account I/we may specify. I/We agree to HSBC deducting a handling charge in the event that I/we elect a scrip dividend.
   b. I/We acknowledge that I/we have received and understand that Certificates of Deposit are not protected deposits and are not protected by the Deposit Protection Scheme in Hong Kong.
4. For Unit Trusts/Securities account customers:
   a. I/We confirm that I/we am/are acting as principal(s) in relation to the Unit Trusts/Securities Account.
   b. I/We confirm that I/we have been provided the risk disclosure statements and Explanation of Risk for Listed Derivatives (applicable for Securities account with account suffix number 381) in the language of my/our choice (English or Chinese); and I/we have been invited to read the risk disclosure statements and Explanation of Risk for Listed Derivatives (applicable for Securities account with account suffix number 381), to ask questions and to take independent advice if I/we wish.
   c. I/We hereby confirm that I/we am/are NOT (1) resident(s), citizen(s) or tax payer(s) of the United States of America ("US") [and none of my/our address(es) on your record is in the US] or (2) residents of Canada ("CA") or (3) national(s) of South Korea who is/are also resident(s) of South Korea ("KR"), whether for US, CA or KR securities or tax laws or for any other purposes. I/We also confirm that I/we am/are not acting as agent on behalf of any US resident and/or US citizen and/or US tax payer and/or CA resident and/or any KR resident who is also KR national. I/We undertake to immediately notify you should I/we (in case of joint account holders, any one of us) become or be deemed to be (1) resident(s), citizen(s) or tax payer(s) of the US or (2) resident(s) of CA or (3) national(s) and resident(s) of KR or (4) if any of my/our address(es) on your record is or should be changed to US at any future time.
   d. I/We declare that I/we am/are not currently employed by any licensed or registered person to carry on regulated activities as defined in the Securities and Futures Ordinance ("Ordinance"). Otherwise, I/we understand that I/we am/are required to provide to the Bank written consent(s) from my/our employer(s) before I/we can open and operate this Unit Trusts/Securities Account. I/We undertake to promptly notify the Bank if I/we become or cease to be employed by any licensed or registered person to carry on regulated activities.

      Note: *A licensed person means a licensed corporation licensed under the Ordinance. A registered person means a registered institution registered under the Ordinance.*
5. I/We, the undersigned, confirm that the Bank has not provided any tax or legal advice to me/us.
6. I/We understand that the remuneration for sales staff is determined based on the staff's overall performance with reference to a wide range of factors, and is subject to review from time to time, for the purpose of encouraging the building of deep, long-lasting and mutually valuable relationships with customers. It is not determined solely on financial performance.
7. I/We acknowledge and agree that (i) certain information contained in this application form is collected and may be kept by the Bank 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 Bank 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"). I/We undertake to advise the Bank of any change in circumstances which affects the tax residency status of the account holder, and to provide the Bank with a suitably updated self-certification form within 30 days of such change in circumstances. [**Note:** Please refer to section 50A of the IRO for the meaning of "account holder" and "reportable account" 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. **Warning:** It is a 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.]
8. I/We agree that the Bank may use and disclose all personal data about me/us that the Bank currently or subsequently holds for the purposes as set out in the Notice relating to the Personal Data (Privacy) Ordinance (see #Schedule).

Declaration (Continued) 聲明（續）

1. 本人（等）已經細閱、明白及接受由香港上海滙豐銀行有限公司（滙豐）所提供的所有有關上述戶口的章則條款（請參閱 # 附件），並已收到有關條款乙份。
2. 本人（等）證實上述資料乃屬正確及完整，並授權貴行可向任何方面證實。本人（等）亦同意如上述資料有任何改變，會立即通知貴行。
3. 適用於證券戶口客戶：
   a. 本人（等）授權及指示滙豐選擇港元作為代本人（等）持有的證券所派發現金股息的貨幣單位，並將該等現金股息付予本人（等）指定的結算戶口。如本人（等）選擇以股代息，本人（等）同意滙豐扣除手續費。
   b. 本人（等）確認已收到通知，並明白存款證並不屬於受保障存款及不會受香港的存款保障計劃保障。
4. 適用於單位信託基金/ 證券戶口客戶：
   a. 本人（等）確認本人（等）是以主事人身分在單位信託基金/ 證券戶口進行交易。
   b. 本人（等）確認已按照本人（等）選擇的語言（英文或中文）獲提供風險披露聲明及上市衍生產品的風險説明（適用於戶口字尾號碼 381 的證券戶口）；及已獲邀閱讀該風險聲明及上市衍生產品的風險説明（適用於戶口字尾號碼 381 的證券戶口）、提出問題及徵求獨立的意見 [如本人（等）有此意願]。
   c. 本人（等）確認，無論就美國或加拿大或南韓的證券或税務法例或其他方面而言，本人（等）均並非（1）美國居民或美國公民或美國納税人 [及本人（等）並沒有美國地址在貴行的紀錄內] 或（2）加拿大居民，或（3）南韓公民而同時為南韓居民。本人（等）亦確認，本人（等）並不代表任何美國居民及/ 或美國公民及/ 或美國納税人及/ 或加拿大居民，及/ 或南韓居民而同時為南韓公民行事。本人（等）承諾，如本人（等）（如為聯名戶口，則其中任何一位戶口持有人）日後成為或被視為（1）美國居民或美國公民或美國納税人或（2）加拿大居民或（3）南韓公民而同時為南韓居民或（4）本人（等）的地址是或應改為美國地址，將立即通知貴行。
   d. 本人（等）確認本人（等）現時並非受僱於任何持牌法團或註冊機構從事證券及期貨條例（「條例」）界定的受規管活動；否則本人（等）明白本人（等）須向貴行提供本人（等）僱主所發出的同意書方可以於貴行開立及使用這單位信託基金/ 證券戶口。本人（等）並承諾如將受僱或不再受僱於任何持牌法團或註冊機構從事受規管活動時，立即通知貴行。

   注意： *持牌法團指根據該條例獲批給牌照的持牌法團。註冊機構指根據該條例註冊的認可財務機構。*
5. 本人（等），即表格簽署人，謹此確定貴行並無向本人（等）提供任何税務或法律意見。
6. 本人（等）明白為鼓勵銷售人員與客戶建立深厚、持久及互利的關係，其薪酬會參照多種因素及因應其整體表現不時檢討，並不單純按其財務表現來釐定。
7. 本人（等）知悉及同意，貴行可根據《税務條例》（第 112 章）有關交換財務賬戶資料的法律條文，（i）收集本申請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）把該等資料和關於賬戶持有人及任何須申報賬戶的資料向香港特別行政區政府税務局（「税務局」）申報，從而把資料轉交到賬戶持有人的税務管轄區的税務當局。本人（等）承諾，如情況有所改變，以致影響賬戶持有人的税務居民身分，本人（等）會通知貴行，並會在情況發生改變後 30 日內，向貴行提交一份已適當更新的自我證明表格。[**備註：**有關在這一聲明中「賬戶持有人」和「須申報賬戶」的含義，請參閱《税務條例》第 50A 條。另請參閱税務局網站 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。警告：根據《税務條例》，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，即屬嚴重罪行。一經定罪可致重罰。]
8. 本人（等）同意貴行可以根據列載於《關於個人資料（私隱）條例的通知》（請參閱 # 附件）的用途，而使用和披露貴行目前或隨後持有的有關本人（等）的所有個人資料。

X

Signature 簽署

Schedule 附件

Terms and Conditions 章則條款	Account Type that Apply 適用的戶口類別	
	Securities 證券	Unit Trusts 單位信託基金
General Terms and Conditions together with "Notice relating to the Personal Data (Privacy) Ordinance" 一般條款及細則及「關於個人資料（私隱）條例的通知」	✓	✓
Securities Account Terms and Conditions 證券戶口條款及細則	✓	
Unit Trusts Account Terms and Conditions 單位信託基金戶口條款及細則		✓

For Bank Use Only 銀行專用	
Account Number	
Account Short Name	
Customer Type	☐ RET ☐ STF ☐ Other
Account Type	☐ INS ☐ INV ☐ Other
Staff Declaration	**I hereby declare that** 1. the risk disclosure statements in the language of the customer's choice (English or Chinese) have been provided to the customer(s); and the customer(s) has/have been invited to read the risk disclosure statements, ask questions and to take independent advice if the customer(s) so wishes/wish. 2. I have already explained to the customer(s) that if he/she is or they are currently employed by any registered or licensed person to carry on regulated activities, the customer(s) is/are required to provide to the Bank a written consent(s) from his/her/their employer(s) in support of this investment services application. Signature HKMA Registration Number: Name of Staff *(in **Block Letters**)*:
	Written Consent Received ☐ Yes — *[For joint account, specify customer name(s)]*
All Accounts	Regulatory Requirement - Derivative Knowledge/Explanation of Derivative-related Risks ☐ Provided and gone through with customer the explanation of risk on listed derivatives. Explanation of risk (generic) updated in CRMS (applicable to 381 account suffix only). ☐ Derivative Training updated in CRMS for customer(s) who have gone through training during investment account opening.
	ID Copy ☐ Yes ☐ Archived — ☐ CDS (K072, K073) Checked ☐ Existing Customer ☐ Customer Compulsory Data Collected
	Branch/SD Action Check List ☐ SANC Risk Indicators checked ☐ Add CDS code "SANT" after approval
	Approval Required on ☐ CDS ☐ FCCRM ☐ SCC/PEP *(Please complete KYC Profile)* ☐ KYC2 ***Note:*** ***Branch Action Checklist (For FCCRM/PRC)*** *Complete the "Other Account Opening Information" Section of the Personal Account/Investment Account Opening Form - Supplementary Customer Information to collect additional KYC information.*
	☐ New PEP ☐ New SCC but not PEP **Maintenance Required** ☑ **Add CDS Code (for new SCC / PEP)**
	Other Maintenance
	Remarks
	Data Prepared by: — Date Account Opened:
	Application Recommended by *(if applicable)* *(Name and Authorised Signature)* — Application Approved by *(if applicable)* *(Name and Authorised Signature)*
	Branch Chop and Authorised Signature

Customer	CDS Code	CDS Remarks *(Please specify reason to be SCC and/or PEP)*
PEP	"SCCS" and "PEPS"	
SCC but not PEP	"SCCS"	