Account Opening Form and Customer Information Statement (Corporate Account)
開戶表格及客戶資料聲明書（公司戶口）

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。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. 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。
3. 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"。
4. 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 its own investment decisions. The CRPQ 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 its own circumstances, including but not limited to its 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 it 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，應該考慮貴公司的狀況，包括但不限於貴公司的財務狀況，投資經驗和投資目標。此問卷的結果亦有可能與貴公司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

1. Account Number 戶口號碼	*(For Relationship Manager to complete)（由客戶經理填寫）*
2. Account Name in English 戶口英文名稱	*(For Relationship Manager to complete)（由客戶經理填寫）*
3. Person Authorised by the Customer to Complete the below Customer Risk Profiling Questionnaire (Name and Position) 由客戶授權填寫客戶風險問卷的授權簽署人（姓名及職位）	

**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 II is designed to help you consider your business' 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 business' actual attitude toward investment risk, but it may be taken as a reference to indicate the profile your business 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.
這部分是為幫助貴公司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。這部分會顯示符合貴公司特性的投資風險取向以作參考，但未必與貴公司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 highest level of investment loss in your business' portfolio that your business can tolerate?**
貴公司可接受投資組合最多的虧損程度是多少？

- ☐ 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 highest fluctuation level of profit and loss that your business is willing to accept for a single investment?**
投資產品價格可升可跌，在單項投資上，貴公司願意接受盈利和虧損的最大波動是多少？

- ☐ 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 business' investment goal and risk tolerance level?**
以下哪一項最切合貴公司的投資目標及風險承受水平？

- ☐ 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。

4. **What is the most likely action your business will take if the value of one of its investments goes down by 20%?**
倘若貴公司持有的單項投資其價值下跌了 20%，貴公司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

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

5. **Does your business have <u>any liquidity needs</u> from <u>its account with relevant HSBC Broking Companies</u> over the <u>next 2 years</u>?**
在<u>未來兩年</u>，貴公司是否需要從<u>相關滙豐金融公司的戶口提取資金以作周轉用途</u>？

☐ a. The business expects to withdraw funds from this account to support its liquidity needs frequently.
本公司預計需要從這個戶口提取資金以作頻密的周轉。
☐ b. The business may withdraw a portion of funds from this account to support its liquidity needs from time to time.
本公司偶爾可能需要從這個戶口提取部分資金以作周轉。
☐ c. The business may withdraw a portion of funds from this account to support its liquidity needs but only under unexpected circumstances.
本公司在特殊情況下，才可能從這個戶口提取部分資金以作周轉。
☐ d. The business does not intend to use any of the funds in this account to support its liquidity needs.
本公司不打算使用這個戶口內的資金以作周轉。

6. **What <u>percentage of your business' liquid net worth</u> is it able to set aside <u>for investment</u>? Note: Liquid net worth excludes real estate, automobile and insurance, etc.**
貴公司能夠從所有<u>流動資產淨值中</u>，撥出多少<u>百分比用作投資</u>？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 will have a higher capacity to take risk. Under general market conditions, <u>how long does your business intend to invest in the market</u>?**
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，<u>貴公司打算投資於金融市場多久</u>？

☐ 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 business' risk tolerance profile and corresponding investment objective is likely to be:
根據您所提供的答案，貴公司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）
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(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。
☐ The business is aware that its risk tolerance profile and corresponding investment objective are at a higher risk profile than the investment goal and level of risk that it answered in Question 3.
本公司明白它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。
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For the conclusion:
有關總結：
☐ The business <u>agrees</u> with the above risk tolerance profile and corresponding investment objective.
本公司<u>同意</u>以上所得的風險承受取向及對應投資目標。
☐ The business <u>disagrees</u> with the above risk tolerance profile and corresponding investment objective. We believe the business' risk tolerance profile and corresponding investment objective should be:
本公司<u>不同意</u>以上所得的風險承受取向及對應投資目標。我們相信本公司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貴公司的風險承受取向。）

☐ 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 customers of the relevant HSBC Broking Companies) If your business has 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）若貴公司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。
☐ The business' financial situation has recently improved.
本公司的財務狀況近期有所改善。
☐ The business can now invest over a longer time horizon.
本公司現在的投資期可以更長。
☐ The business has a view on the investment market and is willing to increase its investment exposure.
本公司對投資市場有看法，願意增加我的投資。
☐ The business would like to take higher risk for higher potential return opportunities.
本公司願意承受更高風險，以獲得更高潛在回報的機會。
☐ Others (please specify):
其他（請註明）：

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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>**0 No Risk Tolerance (Knock-out)** 不具有投資風險承受能力</u> The business does not want to take any investment risk as it cannot accept any investment loss. 本公司不希望承受任何投資風險，因為本公司無法承受任何投資損失。	Not Applicable 不適用
<u>**1 Low Risk Tolerance** 投資風險承受能力低</u> The business wants investments to achieve a regular income only. It wants to achieve a low level of return potential on investments and is generally comfortable with a low level of risk. The business is willing to invest in liquid and income generating products, with a payout profile that is generally known upfront. 本公司只希望透過投資獲得穩定收入。本公司希望獲得較低水平的潛在投資回報，並願意承受低風險。本公司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。	Regular income 穩定收入
<u>**2 Medium Risk Tolerance** 投資風險承受能力中等</u> The business wants investments to achieve a combination of regular income and capital gain. It wants to achieve a medium level of return potential on investments and is generally comfortable with a medium level of risk. The business understands that capital values can have some fluctuations and some of them may have some significant fluctuations and may fall below the original investment. The business is 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. The business is 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. 本公司希望透過投資獲得穩定收入及資本增值。本公司希望獲得中等水平的潛在投資回報，並願意承受中等風險。 本公司明白，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。 本公司知道，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。 本公司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。	Combination of regular income and capital growth 穩定收入及有資本增值潛力的組合
<u>**3 High Risk Tolerance** 投資風險承受能力高</u> The business wants investments to achieve capital gain. It wants to achieve a high level of return potential on investments and is generally comfortable with a high level of risk. The business understands that capital values can fluctuate significantly and may fall substantially below the original investment (including the possibility of a total loss of investment). The business is 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. 本公司希望透過投資獲得資本增值。本公司希望獲得高水平的潛在投資回報，並願意承受高風險。 本公司明白，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）。 本公司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。	Capital growth 有資本增值潛力
<u>**4 Very High Risk Tolerance** 投資風險承受能力極高</u> The business wants its investments to grow aggressively and earn the highest possible return. It wants to maximize its return potential and is generally comfortable with maximized risk. The business can accept huge negative fluctuations, ie capital values can fluctuate significantly below original investment (including the possibility of a loss which exceeds its principal invested and triggers a margin call when the market goes against its investment). The business is 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. 本公司希望我的投資有極高財富增長以及獲得最高的投資回報。本公司希望獲得最高水平的潛在投資回報，並願意承受最高風險。 本公司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原本的投資額（虧損甚至可能大於原本的投資額，並觸發保證金追收通知）。 本公司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	☐ 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	☐ 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
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	☐ 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	☐ 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	☐ 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

Does the business have knowledge of derivatives? (Derivatives includes futures, options, warrants, callable bull/bear contracts, convertible bonds, synthetic exchange traded funds and structured products) **貴公司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 the business (please choose one or more below): 有，因為本公司（請選擇下列一項或多項）： ☐ Executed 5 or more transactions in derivatives within the past 3 years 曾於過去 3 年內曾執行 5 宗或以上的衍生工具產品交易 ☐ At least one of your appointed authorised traders has knowledge of derivatives and provided supporting evidence to the relevant HSBC Broking Companies 最少一名獲委任的授權交易人擁有衍生工具產品知識，並已提供支持證明文件予相關滙豐金融公司 **(Please provide supporting evidence of knowledge of derivatives such as trading statements.)** **（貴公司必須提供支持證明文件，例如：交易結單，以證明所申報有關衍生工具投資的知識。）**

The following section is only applicable if your business has answered "Yes" for having "knowledge of derivatives".
以下部分僅適用於貴公司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	☐ 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	☐ 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
Structured Products 結構性產品	☐ No 否 ☐ Yes 是	☐ 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）

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	☐ 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

Financial Resources Available for Investment 可用作投資之財政資源	☐ HKD 港幣 1 – 500,000 ☐ HKD 港幣 500,001 – 1,000,000 ☐ HKD 港幣 1,000,001 – 2,000,000 ☐ HKD 港幣 2,000,001 – 3,000,000 ☐ 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 客戶身份

1. Account to be applied with 申請戶口種類	☐ HSBC Broking Services (Asia) Limited 滙豐金融服務（亞洲）有限公司 *(Precious Metal)* *（貴金屬）*	☐ HSBC Broking Securities (Asia) Limited 滙豐金融證券（亞洲）有限公司 *(Exchange Traded Securities, Bonds and Exchanged Traded Equity Options)* *（交易所買賣證券，債券及交易所買賣股票期權）*	☐ HSBC Broking Futures (Asia) Limited 滙豐金融期貨（亞洲）有限公司 *(Exchanged 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））*	☐ HSBC Broking Forex (Asia) Limited 滙豐金融外匯（亞洲）有限公司 *(Leveraged Foreign Exchange)* *（槓桿式外匯）*

2. Registered Name of Customer in English 客戶註冊英文名稱			
3. Registered Name of Customer in Chinese *(if any)* 客戶註冊中文名稱*（如有）*			
4. "Trading as" Name of Customer in English *(if any)* 經營英文名稱*（如有）*			
5. "Trading as" Name of Customer in Chinese *(if any)* 經營中文名稱*（如有）*			
6. Place of Incorporation/ Establishment 註冊地點		7. Date of Incorporation/ Establishment (DD/MM/YY) 註冊日期（日／月／年）	
8. Legal Entity Identifier *(if applicable)* 法人機構識別編碼*（如適用）*		9. Certificate of Incorporation Number *(if applicable)* 公司註冊證書號碼*（如適用）*	
10. Business Registration Number *(if applicable)* 商業登記號碼*（如適用）*		11a. Listing on Stock Exchange 上市公司	☐ Yes 是 ☐ No 否
11b. Name(s) of Stock Exchange *(Only applicable for listed company)* 交易所名稱 *（只適合於上市公司）*			

12. Entity Type 公司實體類別	☐ Limited Company 有限公司	☐ Sole Proprietorship 獨資經營	☐ Partnership 合夥經營	☐ Others *(Please specify)*: 其他*（請註明）*：______________

13. What is your company's ownership position 公司的架構位置	(Only for Limited Company and Partnership)（適用於有限公司及合夥經營商號）					
	☐ Ultimate Parent 最終母公司	☐ Stand Alone 獨立公司	☐ Subsidiary 附屬公司	☐ Branch 分公司	☐ Joint Venture 合資公司	☐ Other *(Please specify)*: 其他*（請註明）*：______________

14. Have There Been Material Changes to the Customer's Business in the Last 5 Years 在過去 5 年業務模式上作出重大轉變	(eg Changes to ownership, company name, parent company, countries of operation, nature of business, products/services)（如：更改股東、企業名稱、母公司、業務所在地、行業性質、產品／服務）
	☐ Yes, please provide details *(maximum 200 characters):* 有，請註明*（不多於 200 個英文字母）*:
	☐ No 沒有
15. Reason(s) for Setting up Account 開設戶口的理由	☐ For Investments Service 進行投資買賣 ☐ For Stock Custodian Service 股票托管服務 ☐ Other (Please specify): 其他（請註明）：______________
16. Capability of Issuing Bearer Shares 發行不記名股份的能力	☐ Incapable to issue bearer shares 不能夠發行不記名股份 ☐ Capable to issue bearer shares 能夠發行不記名股份 ☐ We ("Customer") declare that none of our shares have been issued in or are held in bearer form. 本人等（「本公司」）聲明沒有發行或持有不記名股份。

VI. Customer Identification (Continued) 客戶身份（續）

<table>
<tr><td rowspan="9">17. Entity Classification and Controlling Persons
實體類別及控權人</td><td colspan="2">Tick one of the appropriate boxes and provide the relevant information.
在其中一個適當的方格內加上√ 號，並提供有關資料。</td></tr>
<tr><td rowspan="2">Financial Institution
金融／財務機構</td><td>☐ Custodial Institution, Depository Institution or Specified Insurance Company
託管機構、存款機構或指明保險公司</td></tr>
<tr><td>☐ Investment Entity, except an investment entity that is managed by another financial institution (eg with discretion to manage the entity’s assets) and located in a non-participating jurisdiction
投資實體，但不包括由另一金融／財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體</td></tr>
<tr><td rowspan="4">Active Entity that is not a Financial Institution (“Active NFE”)
主動非財務實體</td><td>☐ Entity that is not a Financial Institution (“NFE”) the stock of which is regularly traded on ____________________, which is an established securities market
該非財務實體的股票經常在____________________（一個具規模證券市場）進行買賣</td></tr>
<tr><td>☐ Related entity of ____________________, the stock of which is regularly traded on____________________, which is an established securities market
____________________ 的有關連實體，該有關連實體的股票經常在 ____________________（一個具規模證券市場）進行買賣</td></tr>
<tr><td>☐ NFE is a governmental entity, an international organization (for example the United Nations or North Atlantic Treaty Organisation (“NATO”)), a central bank, or an entity wholly owned by one or more of the foregoing entities
政府實體、國際組織（例如：聯合國或北大西洋公約組織（「NATO」））、中央銀行或由前述的實體全權擁有的其他實體</td></tr>
<tr><td>☐ Active NFE other than the above (for example a start-up NFE or a non-profit NFE)
除上述以外的主動非財務實體（例如：新成立的非財務實體或非牟利的非財務實體）</td></tr>
<tr><td rowspan="2">Passive Entity that is not a Financial Institution (“Passive NFE”)
被動非財務實體</td><td>☐ Investment entity that is managed by another financial institution and located in a non-participating jurisdiction
位於非參與稅務管轄區並由另一金融／財務機構管理的投資實體

☐ NFE that is not an active NFE
不屬主動非財務實體的非財務實體</td></tr>
<tr><td>Please also complete this part for a Passive NFE
如實體戶口持有人是被動非財務實體，填寫此部

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official.
就戶口持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。

Complete Controlling Person Tax Residency Self-Certification Form (CRS-CP)/Information Statement for Other Relevant Person(s) for each controlling person.
每名控權人須分別填寫一份控權人稅務居民自我證明表格(CRS-CP)／資料聲明書（其他有關人士）。

<table><tr><td>(1)</td><td>(5)</td></tr><tr><td>(2)</td><td>(6)</td></tr><tr><td>(3)</td><td>(7)</td></tr><tr><td>(4)</td><td>(8)</td></tr></table></td></tr>
</table>

VI. Customer Identification (Continued) 客戶身份（續）

18. 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」）

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

a. each country/region/jurisdiction where the account holder is a **resident for tax purposes**; and
戶口持有人的國家／地區／稅務管轄區，亦即**戶口持有人的稅務管轄區**；及

b. the account holder's TIN for each country/region/jurisdiction indicated.
該國家／地區／稅務管轄區發給戶口持有人的稅務編號。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.
如戶口持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

If the account holder is not a tax resident in any country/region/jurisdiction (eg fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.
如果戶口持有人並非任何國家／地區／稅務管轄區的稅務居民（例如：它是財政透明實體），填寫實際管理機構所在的國家／稅務管轄區。

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 the account holder is a resident for tax purposes does not issue TINs to its residents.
\# **理由 A** – 戶口持有人的國家／地區／稅務管轄區並沒有向其居民發出稅務編號。

Reason B – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.
理由 B – 戶口持有人不能取得稅務編號。如選取這一理由，解釋戶口持有人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 – 戶口持有人毋須提供稅務編號。稅務管轄區的主管機關不需要戶口持有人披露稅務編號。

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 the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，請解釋戶口持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

☐ (If the account holder is an existing customer of any of the relevant HSBC Broking Companies) I/We confirm that the information which I/we previously provided in respect of Part VI of this form is true, correct and complete.
（如果戶口持有人是任何相關滙豐金融公司的現有客戶）本人／本人等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 (Continued) 客戶身份（續）

19. 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」）	I/We 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 of the Laws of Hong Kong) (“IRO”). 本人／本人等知悉及同意，相關滙豐金融公司可根據《稅務條例》（香港法例第 112 章）有關交換財務帳戶資料的法律條文，（i）收集此表格所載的某些資料並可備存作自動交換財務帳戶資料用途及（ii）把該等資料和關於戶口持有人及任何須申報帳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的稅務管轄區的稅務當局。 I/We certify that I am/we are authorised to sign for the account holder (identified in Part VI of this form) of all the account(s) currently held with the relevant HSBC Broking Companies. 本人／本人等證明，就有關本表格第 VI 部所指的實體戶口持有人現於相關滙豐金融公司持有的所有戶口，本人／本人等獲戶口持有人授權代其簽署。 I/We undertake to advise the relevant HSBC Broking Companies of any change in circumstances which affects the tax residency status of the account holder 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／本人等承諾，如情況有所改變，以致影響本表格第 VI 部所述的實體的稅務居民身分，或引致本表格第 VI 部和第 VII 部所載的資料不正確，本人／本人等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「須申報帳戶」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帳戶資料的詳情。 **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. Business Information 業務資料

<table>
<tr><td colspan="3">1. What is the purpose of structuring as a holding company / Private Investment Company
(Only for Holding Company and Private Investment Company)
使用控股公司／私人投資公司架構的目的
（只適用於控股公司／私人投資公司）</td><td colspan="3"></td></tr>
<tr><td rowspan="5">2. Is the Business a Regulated Financial Institution
業務是否為受監管的金融機構</td><td rowspan="4">☐ Yes 是</td><td>Country/Region of Regulator
監管機構所在國家／地區</td><td colspan="3"></td></tr>
<tr><td>Name of Regulator
監管機構名稱</td><td colspan="3"></td></tr>
<tr><td rowspan="2">Foreign Account Tax Compliance Act Status
外國賬戶稅務合規法案狀態</td><td colspan="3">☐ Participating Foreign Financial Institution ("FFI")
外國金融機構參與者

Code 編碼：
________________________</td></tr>
<tr><td colspan="3">☐ Non-Participating FFI
非參與的外國金融機構</td></tr>
<tr><td colspan="4">☐ No 否</td></tr>
</table>

3. Country/Region of Holding/Operational Presence 營運國家／地區／持有資產的地點	Country/Region 國家／地區	Number of Branches 分公司數目	Number of Subsidiaries 子公司數目	Number of Local Offices 本地辦事處數目

4. Please provide details of all Countries/ Regions that Account for More than 10% of your Business Revenue, Purchases and/or Assets Held 請提供所有佔 10% 以上營業額，採購及／或持有資產的國家／地區	Country/Region 國家／地區	Percentage of Revenue/Intended Revenue (Incoming Activities) 收入／預期收入（收益活動）的比例	Percentage of Purchases/Intended Purchases (Outgoing Activities) 採購／預期採購（開支活動）的比例	Percentage of Assets Held 所持資產的比例

VII. Business Information (Continued) 業務資料（續）

<table>
<tr><td rowspan="2">5. Number of Employees
僱員數目</td><td>In Hong Kong:
在香港：</td><td>In Mainland China:
在中國內地：</td><td colspan="2">In Other Areas:
在其他地區：</td></tr>
<tr><td></td><td></td><td colspan="2"></td></tr>
<tr><td rowspan="5">6. Relevant Financial Performance Indicator
相關財務表現數據</td><td colspan="2"></td><td colspan="2">Amounts (HKD) 金額（港幣）</td></tr>
<tr><td colspan="2">☐ Annual Business Turnover 全年營業額</td><td colspan="2"></td></tr>
<tr><td colspan="2">☐ Asset Size 資產規模</td><td colspan="2"></td></tr>
<tr><td colspan="2">☐ Asset Under Management 資產管理規模</td><td colspan="2"></td></tr>
<tr><td colspan="2">☐ Other (Please specify) 其他（請註明）：</td><td colspan="2"></td></tr>
<tr><td>7. Name of your company audit or accounting firm (if applicable)
貴公司的核數師／會計師事務所名稱（如適用）</td><td colspan="4"></td></tr>
<tr><td rowspan="3">8. Key Customer Type(s) (Only Applicable for operating business)
主要客戶類別（只適用於經營業務公司）</td><td>☐ Individuals
個人</td><td>☐ Businesses
企業</td><td colspan="2">☐ Governments/Public Sectors
政府／公營部門</td></tr>
<tr><td colspan="2">☐ Banks and other Financial Institutions
銀行及其他金融機構</td><td colspan="2">☐ Non-Profit Organizations
非營利組織</td></tr>
<tr><td colspan="4">☐ Other (please specify):
其他（請註明）:</td></tr>
<tr><td rowspan="4">9. Key Customer Who Accounts for More than 50% of Total Sales (Only Applicable for operating business)
佔 50% 以上營業額的主要客戶（只適用於經營業務公司）</td><td colspan="2">Registered Name:
註冊名稱：</td><td colspan="2">% of Sales:
佔營業額百分比：</td></tr>
<tr><td colspan="2"></td><td colspan="2"></td></tr>
<tr><td colspan="2">“Trading As” Name (If different from Registered Name):
營業名稱（如與註冊名稱不同）：</td><td colspan="2">Nature of Business/Industry
商業／行業性質：</td></tr>
<tr><td colspan="2"></td><td colspan="2"></td></tr>
</table>

VIII. Customer Contact Information 客戶聯絡資料

1. Registered Address 註冊地址	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）*	
2. Principal Place of Business Address 主要營業地址	☐ Same as Registered Address 與註冊地址相同		
	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）*	
3. 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 Correspondence Address, 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）將透過以下選取的通訊地址郵寄至戶口持有人，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 Registered Address 與註冊地址相同	☐ Same as Principal Place of Business Address 與主要營業地址相同	
	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 either Registered Address or Principal Place of Business Address is selected as Correspondence Address and 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，如已選擇註冊地址、主要營業地址作為通訊地址並已提供中文地址，則無須再填寫。		
4. Business Telephone Number *(For overseas number, please provide Country Code and Area Code (if any))* 辦公室電話號碼*（如海外號碼，請提供國家／區域編號及地區編號（如有））*	Country/Region Code 國家／區域編號	Area Code 地區編號	Number 號碼
5. Preferred Language for Correspondence 通訊語言	*(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 account holder(s) in the language selected, please choose one below.)（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）將透過以下選取的語言遞交戶口持有人，請選擇一項。）*		
	☐ English 英文	☐ Simplified Chinese 簡體中文	
6. E-mail Address*4 電郵地址*4			
7. Business Website *(if any)* 公司網址*（如有）*			

**4 Mandatory field for customers opening accounts with HSBC Broking Futures (Asia) Limited or requesting to receive eStatement/eAdvice, e-mail correspondence (as applicable).*
若客戶於滙豐金融期貨（亞洲）有限公司開設期貨戶口或要求接收電子結單／電子結單備註、電郵通訊（如適用），此項必須提供。

IX. Contact Person Information*5 聯絡人資料*5

1. Full Name in English 英文全名	☐ Mr 先生 ☐ Mrs 太太 ☐ Miss 小姐 ☐ Ms 女士 Surname 姓	Given Name 名	
2. Full Name in Chinese *(if applicable)* 中文全名*（如適用者）*	Surname 姓	Given Name 名	
3. Telephone Number 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））*	Country/Region Code 國家／區域編號	Area Code 地區編號	Number 號碼
4. E-mail Address 電郵地址			
5. Job Title *(if applicable)* 工作職位*（如適用）*			
6. Relationship with Account Holder 與戶口持有人的關係			

X. Customer Declaration 客戶聲明

Relationship Declaration 關係申報

Is your company and/or its guarantor(s) related or connected to 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?
貴公司及／或其擔保人是否與香港上海滙豐銀行有限公司（簡稱「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有關連？

☐ No, and we (“Customer”) 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，本人等（「本公司」）同意儘速以書面通知相關滙豐金融公司

☐ Yes (*Please state the details of the related or connected person*):
是（請填寫與滙豐有關連人士的資料）：

Position Held 職位	Full Name in English 英文全名

Please state the details of the person in HSBC to which the above person is related or connected
請填寫上述人士在滙豐工作的親屬的資料

Relationship 關係	Full Name in English 英文全名

We (“Customer”) confirm that we 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 (Cap. 155 of the Laws of Hong Kong).
本人等（「本公司」）確認我們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》（香港法例第 155 章）。

We (“Customer”) 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 us.
本人等（「本公司」）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我們提供的資料。

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。

*5 *Mandatory field for all customers opening accounts with HSBC Broking Futures (Asia) Limited.*
若客戶於滙豐金融期貨（亞洲）有限公司開設期貨戶口，此項必須提供。

XI. Details of All Directors, Shareholders and Key Controllers*8
所有董事、股東、主要管理人*8 資料

	Full Name in English 英文全名		Full Name in Chinese *(if applicable)* 中文全名（*如適用*）	
1. Individual Director(s)*6 董事*6 為個人	Surname 姓	Given Name 名	Surname 姓	Given Name 名
	Surname 姓	Given Name 名	Surname 姓	Given Name 名
	Surname 姓	Given Name 名	Surname 姓	Given Name 名
	Surname 姓	Given Name 名	Surname 姓	Given Name 名
	Surname 姓	Given Name 名	Surname 姓	Given Name 名
	Surname 姓	Given Name 名	Surname 姓	Given Name 名

	Full Name in English 英文全名	Full Name in Chinese *(if applicable)* 中文全名（*如適用*）
2. Corporate Director(s)*6 董事*6 為公司		

	Full Name in English 英文全名		Full Name in Chinese *(if applicable)* 中文全名（*如適用*）		Percentage (%) Shareholding 持股百分比
3. Individual Ultimate Beneficial Owner*6 最終實益擁有人*6 為個人	Surname 姓	Given Name 名	Surname 姓	Given Name 名	
	Surname 姓	Given Name 名	Surname 姓	Given Name 名	
	Surname 姓	Given Name 名	Surname 姓	Given Name 名	
	Surname 姓	Given Name 名	Surname 姓	Given Name 名	
	Surname 姓	Given Name 名	Surname 姓	Given Name 名	
	Surname 姓	Given Name 名	Surname 姓	Given Name 名	

	Full Name in English 英文全名	Full Name in Chinese *(if applicable)* 中文全名（*如適用*）	Percentage (%) Shareholding 持股百分比
4. Corporate Beneficial Owner *6,*7 實益擁有人*6,*7 為公司			

**6 Each of the directors, beneficial owners and key controllers is required to fill in a separate "Information Statement for Other Relevant Person(s)".*
所有董事，實益擁有人及主要管理人需要各自填寫一份「資料聲明書（其他有關人士）」。

**7 For Corporate Beneficial Owner(s) please provide group structure chart(s) indicating the ultimate beneficial owner(s).*
如實益擁有人為公司，請提供集團架構表以顯示最終實益擁有人。

**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。

XI. Details of All Directors, Shareholders and Key Controllers (Continued)
所有董事、股東、主要管理人資料（續）

	Full Name in English 英文全名		Full Name in Chinese *(if applicable)* 中文全名（*如適用*）		Job Title 工作職位
5. Individual Key Controller [6] 主要管理人[*6] 為個人	Surname 姓	Given Name 名	Surname 姓	Given Name 名	
	Surname 姓	Given Name 名	Surname 姓	Given Name 名	
	Surname 姓	Given Name 名	Surname 姓	Given Name 名	
	Surname 姓	Given Name 名	Surname 姓	Given Name 名	

	Full Name in English 英文全名	Full Name in Chinese *(if applicable)* 中文全名（*如適用*）	Job Title 工作職位
6. Corporate Key Controller *6 主要管理人[*6] 為公司			

Only for Key Controllers Entities *只適用於主要管理人為公司*				
6a. Ultimate Beneficial Owner of Key Controller I (Only for Key Controllers Entities) 主要管理人之最終實益擁有人(I)	Full Name in English 英文全名		Full Name in Chinese *(if applicable)* 中文全名（*如適用*）	
	Surname 姓	Given Name 名	Surname 姓	Given Name 名
	Percentage of Ownership 持股量%		Date of Birth 出生日期	
	Permanent Residential Address 永久居住地址			
6b. Ultimate Beneficial Owner of Key Controller II (Only for Key controllers Entities) 主要管理人之最終實益擁有人(II)	Full Name in English 英文全名		Full Name in Chinese *(if applicable)* 中文全名（*如適用*）	
	Surname 姓	Given Name 名	Surname 姓	Given Name 名
	Percentage of Ownership 持股量%		Date of Birth 出生日期	
	Permanent Residential Address 永久居住地址			

*6 *Each of the directors, beneficial owners and key controllers is required to fill in a separate "Information Statement for Other Relevant Person(s)".*
所有董事，實益擁有人及主要管理人需要各自填寫一份「資料聲明書（其他有關人士）」。

XII. Nature of Business and Financial Profile 公司業務性質及財政概況

<table>
<tr><td>1. Nature of Business
業務性質</td><td>☐ Investment only 只進行投資
☐ Operating business 經營業務 (Please indicate the nature of business)（請表明公司業務性質）
☐ 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/Insurance 金融／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
☐ Others (please specify) 其他（請註明）
☐ 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
____</td></tr>
<tr><td>2. Anticipated Account Activity
預計戶口活動</td><td>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）
<table>
<tr><th>Details 資料</th><th>Transfer in 匯入</th><th>Transfer out 匯出</th></tr>
<tr><td>Total Amount 總額</td><td>HKD 港幣</td><td>HKD 港幣</td></tr>
<tr><td>Total Number of Transfer 總數量</td><td></td><td></td></tr>
<tr><td>Purpose 用途</td><td></td><td></td></tr>
<tr><td>Country/ Region (Please declare all) 國家／地區（請申報所有）</td><td></td><td></td></tr>
</table></td></tr>
<tr><td>3. Method(s) of Fund Transfer
資金存入途徑</td><td>(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）
____</td></tr>
</table>

XII. Nature of Business and Financial Profile (Continued) 公司業務性質及財政概況（續）

4. 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
☐ Investment by Beneficial Owner(s) 實益擁有人的投資		
☐ Business Revenue 營業收入		
☐ Return on Investment 投資收益		
☐ Sale of Assets (eg Real Estate, Business Ownership) 資產轉售（如物業、所持有的公司）		
☐ Others *(Please specify)* 其他*（請註明）* ______		

5. 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）*

☐ **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）

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
☐ Investment by Beneficial Owner(s) 實益擁有人的投資		
☐ Business Revenue 營業收入		
☐ Return on Investment 投資收益		
☐ Sale of Assets (eg Real Estate, Business Ownership) 資產轉售（如物業、所持有的公司）		
☐ Others *(Please specify)* 其他*（請註明）* ______		

XIII. Bank Account Details 銀行戶口資料

<table>
<tr><td rowspan="10">1. Designated Bank Account Details
往來銀行及指定銀行戶口詳細資料
(Name of account held with designated bank must be identical to the name of this account)
（往來銀行及指定銀行戶口必須與本戶口名稱相同）</td><td colspan="3">The following bank account(s) under our name is/are designated for receiving payments from the relevant HSBC Broking Companies account, and the instructions of which are to be given by our authorised person(s) from time to time by phone or in writing. These bank account details will remain valid until the relevant HSBC Broking Companies receive written notice otherwise from us.
本人等的戶口授權人將不時透過電話或書面發出的付款指示由本人等的相關滙豐金融公司戶口付款到以下指定銀行戶口。除非相關滙豐金融公司收到由本人等發出的電話或書面通知，否則，這些指定銀行戶口的詳細資料將保持有效。

The authority given herein supersedes all prior authorities given, if any, relating to the subject matter hereof.
此授權書取代所有過去與此事項相關的授權書（如有）。

Please provide supporting documents of the bank account(s), eg bank statement(s) or ATM card(s) showing Bank Account Number and Account Name.
請提供能顯示銀行帳戶持有人及帳戶號碼的證明文件（如銀行對賬單、提款卡等）以作證明。</td></tr>
<tr><td rowspan="4">Other Account 1
其他銀行戶口 1</td><td>Name of Bank
銀行名稱</td><td></td></tr>
<tr><td>Bank Account Number
銀行戶口號碼</td><td></td></tr>
<tr><td>Account Name
銀行客戶姓名</td><td></td></tr>
<tr><td>Country/Region
國家／地區</td><td></td></tr>
<tr><td colspan="3"></td></tr>
<tr><td rowspan="4">Other Account 2
其他銀行戶口 2</td><td>Name of Bank
銀行名稱</td><td></td></tr>
<tr><td>Bank Account Number
銀行戶口號碼</td><td></td></tr>
<tr><td>Account Name
銀行客戶姓名</td><td></td></tr>
<tr><td>Country/Region
國家／地區</td><td></td></tr>
<tr><td>2. Standing Authority to Return payment from third-party pay or to its source
退回第三者存款至資金所屬的來源的常設授權</td><td colspan="3">I/We hereby authorise and instruct you to return, without notice, any third party payments received into my/our account(s) from time to time to their source.
本人／本人等特此授權及指示貴公司，將不被許可的第三者存款退回至資金所屬的來源。

I/We understand that you are not liable to me/us or any third party for any interest, charges, expenses, claims, losses, costs and damages in connection with your reliance on this authority and instruction.
貴公司概不負責客戶一切因退款所引致的相關費用、銀行利息或客戶與第三方之個人損失及追討。

This authority is valid for a period of 12 months from the date on which this document is signed. I/We may revoke this authority by giving not less than two Business Days (as defined in the Terms of Business) written notice to you. Unless revoked by me/us, this authority shall be deemed to be renewed on a continuing basis without my/our written consent if you issue me/us with a written reminder at least 14 days prior to the expiry date of this authority, and I/we do not object to such deemed renewal before that expiry date.
此授權書之有效期為本開戶表格及客戶資料聲明書簽發日起計 12 個月，在本授權書的有效期 12 個月屆滿時，除非已續期，否則本授權書將被視為失效，本授權書可在給予不少於 2 個營業日的書面通知（於客戶合約內訂明）而被撤銷。除非經本人／本人等撤回此授權書，如你在本授權書屆滿前最少十四（14）日前向本人／本人等發出延續通知而本人／本人等並沒有反對延續本授權，在沒有本人／本人等之書面同意下，本授權書將視作繼續延期。

X
____
Signature(s) of authorised signatory(ies) with company chop
授權簽署人簽署及公司蓋印</td></tr>
</table>

XIV. Optional Services 自選服務

1. Investment Advisory Service 投資顧問服務	Do you wish to receive investment advisory services? 閣下是否希望收取投資顧問服務？ ☐ Yes 是 *(Subject to our customer suitability assessment for receiving investment advisory services.)* *（必須通過我們的適用性評估要求才可收取投資顧問服務。）* ☐ No 否 *(If you tick "No", no investment advisory service will be provided to you and your account will be operated on an execution only basis. You may apply for such services in the future provided that you fulfill our suitability requirements.)* *（如選擇「否」，閣下將不會收到投資顧問服務，而閣下的戶口將根據閣下的指示執行交易。閣下將來可以重新申請有關服務，但必須通過我們的適用性評估要求。）*
2. eStatement/ eAdvice Services 登記電子結單／電子結單備註服務	☐ We would like to register for eStatement/eAdvice Services 本人等需要登記電子結單／電子結單備註 ☐ *eStatement/eAdvice* services are not required 不需要登記電子結單／電子結單備註服務 *(Contract notes, daily activity statements and monthly activity statements issued by the relevant HSBC Broking Companies will be sent to the e-mail address given above with immediate effect and until further notice. 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、日結單及月結單將透過電郵地址發送至戶口持有人，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。）*
3. Digital Trading Services 網上交易服務	*(Applicable only to customers who would like to open an account with HSBC Broking Securities (Asia) Limited)* *（此網上交易服務只適用於將開立滙豐金融證券（亞洲）有限公司戶口的客戶）* ☐ We would like to apply for the digital trading services and authorise the following authorised trader as an "Authorised User": 本人等需要申請網上交易服務並授權以下授權交易人為「授權用戶」: Name of Authorised Trader(s) 戶口授權交易人姓名 ____________ Identity Document Number 身份證明文件號碼 ____________ *(Authorised Trader is required to fill in Mobile 1 and E-mail Address in "Information Statement for Other Relevant Person(s)" for the above option.)* *（如申請網上交易服務，授權交易人必需在資料聲明書（其他有關人士）提供手提電話 1 及電郵地址。）* ☐ Digital trading services is not required 不需要申請網上交易服務
4. China Connect Service*9 中華通服務*9	☐ We would like to register for China Connect Service 本人等需要開設（「中華通戶口」） ☐ China Connect Service is not required 不需要開設（「中華通戶口」）
5. SMS Notifications*10 短訊提示*10 *(Please choose 1 language only even when more than one mobile phone number is provided)* *（如多於一個手提電話號碼用作短訊提示，客戶也只能選擇一種語言）*	SMS language 語言 *(Please select one only)* *（請選擇一項）* ☐ English 英文 ☐ Traditional Chinese 繁體中文 ☐ Simplified Chinese 簡體中文 Unless you tick one of the boxes below, the relevant HSBC Broking Companies may from time to time send SMS notifications to you (in respect of matters relevant to your account(s) and the availability of services provided under the Customer Agreement. 如閣下不希望接收相關滙豐金融公司就本人等戶口相關事宜並根據商業條款所提供的服務的情況下而發出的短訊提示，請選擇以下其中一項。 ☐ We do not wish to receive SMS notifications. 本人等不希望接收相關滙豐金融公司所發出的短訊提示。 ☐ We do not wish the following individual(s) to receive SMS notifications. We understand that the other Authorised Trader(s) may receive these notifications. 本人等不希望以下人士（等）接收相關滙豐金融公司所發出的短訊提示，但本人等明白其他授權交易人或會繼續接收此類短訊提示。 Name of Authorised Trader(s) 戶口授權交易人姓名： ____________ *If you are applying for digital trading services, please note that the above selection will not affect SMS notifications sent in relation to digital trading services activity.* *請注意如閣下申請網上交易服務，以上之選項並不影響接收網上交易服務相關之短訊提示。*

*9 *Only applicable for the eligible corporate account holder*
只適用於合資格之公司戶口

*10 *SMS notification will only be applicable to Mobile 1 provided by the Authorised Trader(s) in "Information Statement for Other Relevant Person(s).*
短訊提示只適用於授權交易人在「資料聲明書（其他有關人士）」所提供的手提電話 1。

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

We ("Customer") confirm that we have read and understand the latest data privacy policy ("the Policy"), a copy of which has been given to us, and we understand and agree that any personal data provided by us, whether relating to our directors, shareholders, agents, employees, or any other person, may be transferred and used in accordance with the Policy.
本人等（「本公司」）確認本公司已閱讀並理解關於已提供予本公司最新資料私隱政策（以下簡稱「該政策」）之副本，並明白及同意本公司所提供有關本公司的董事、股東、代理、僱員或任何其他人士的個人資料可能會根據該政策被轉移及使用。

We ("Customer") confirm and warrant that we have obtained/will obtain the express and prescribed consent of every person (whose personal data has been provided by us) to the transfer and use of his/her personal data in accordance with the Policy. We agree that we will indemnify and hold the relevant HSBC Broking Companies harmless from all costs, penalties, damages and losses incurred as a result of this warranty being untrue and any other breach of this warranty.
本人等（「本公司」）確認並保證本公司已獲得／會獲得各人（指在此提供資料予本人等）的明確及受規定的同意根據該政策轉移及使用他／她的個人資料。本公司同意，就本公司因本保證書之不真實及對本保證書的任何其他違反而導致的成本、處罰、損害及損失，向相關滙豐金融公司予以賠償，並使其免受損失。

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

- ☐ We do not wish relevant HSBC Broking Companies to use personal data provided by us, whether relating to our directors, beneficial owners, authorized person, or any other individual, in direct marketing and/or to provide personal data provided by us to any other persons for their use in direct marketing.
  本人等不希望相關滙豐金融公司將我們提供有關本公司的董事、實益擁有人、授權人或任何其他人士的個人資料被用作直接促銷用途及／或將我們提供的個人資料給予任何其他人士，供他們作直接促銷用途。

This request is for accounts with the relevant HSBC Broking Companies only. If the Customer wishes to indicate whether or not to receive direct marketing contact or information from Commercial Banking, Private Banking or other business lines with which the Customer has banking relationships, the Customer must complete a separate form. Please contact the relevant HSBC Broking Companies for details. The above represents the Customer's present choice whether or not to receive direct marketing contact or information. This replaces any choice communicated by the Customer to the relevant HSBC Broking Companies prior to this application.
以上要求只適用於在相關滙豐金融公司的戶口。貴公司如希望指示是否接收來自工商金融、私人銀行及與其他業務類別有關銀行業務關係的直接銷售聯繫或資料，必須填寫額外表格。詳情請聯絡相關滙豐金融公司。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。此選擇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:
The Customer's 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 Customer's selection for Investment Advisory Service in Section XIV. Optional Services) 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.
注意：
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（根據貴公司於 XIV 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。

XVI. Customer Declaration - CRPQ 客戶風險取向問卷 － 客戶聲明

I/We declare that I/we have read and understood the CRPQ. I/We hereby confirm that all the answers to the questions in the CRPQ are provided by me/us are up-to-date, complete and accurate to the best of my/our knowledge and I/we agree (on behalf with the Customer) with the risk profiling result as set out above in Part II (which will be relied upon by and captured in the records of the relevant HSBC Broking Companies).
本人／本人等聲明，本人／本人等已閱讀並理解本客戶風險取向問卷。本人／本人等謹此確認，本問卷所有問題的答案均由本人／本人等提供，就本人所知屬最新，完整和準確的，本人／本人等（代表本公司）認同第 II 部分之結果（結果將由相關滙豐金融公司記錄為本公司的風險承受取向及投資目標）。

We (“Customer”) acknowledge that (1) the CRPQ only serves as a reference for our consideration when making our own investment decisions and the risk profiling result does not constitute offer or solicitation to buy or sell or recommendation of any product and service and should not be considered as investment advice; (2) the risk profiling result was derived from information provided by us; (3) the relevant HSBC Broking Companies accept no responsibility or liability to check the accuracy or completeness of the information provided herein; (4) we should also consider our own circumstances, including but not limited to our financial situation, investment experience and investment objectives, before making any investment decisions; and (5) our failure in providing up-to-date, complete and accurate information would materially affect any suitability assessment by the relevant HSBC Broking Companies.
本人等（「本公司」）確認：（1）本問卷只作為我們作出個人投資決定時的參考，客戶風險取向結果並不構成要約或招攬購買，出售或推薦任何產品和服務，客戶不應視結果為投資建議；（2）客戶風險取向結果是由我們提供的資料所獲得的；（3）相關滙豐金融公司將不承擔任何責任或義務檢查我們提供的信息的準確性和完整性；（4）在做出任何投資決定之前，我們還應該考慮我們的狀況，包括但不限於我們的財務狀況，投資經驗和投資目標；（5）如我們未能提供最新，完整和準確的資料，將會嚴重影響相關滙豐金融公司的任何合適性評估。

We (“Customer”) undertake to advise the relevant HSBC Broking Companies of any change in circumstances which would affect our risk tolerance profile, and to re-perform the CRPQ as soon as possible should there be any such change in circumstances.
本人等（「本公司」）承諾，如有任何情況變動會影響我們的投資風險承受取向，我們會告知相關滙豐金融公司，並盡快重新填寫客戶風險取向問卷。

If we (“Customer”) have appointed or will appoint authorised traders, we will ensure that they understand our financial situation, and are competent and suitably qualified (having regard to their investment knowledge and experience):
(1) for our investment objectives, strategies and processes;
(2) to operate our account(s) with the relevant HSBC Broking Companies; and
(3) to communicate with the relevant HSBC Broking Companies for any suitability assessment and explanation of any products or services.

如果本人等（「本公司」）已經委任或將委任授權交易人，我們會確保他們了解我們的財務狀況，並且勝任及有合適資格（考慮到他們的投資知識及經驗）：
（1） 為我們的投資目標，策略及流程；
（2） 操作我們在相關滙豐金融公司的戶口；及
（3） 與相關滙豐金融公司對任何產品或服務的合適性評估及解釋進行溝通。

XVII. Customer Signatory(ies) and Declaration 客戶簽名及聲明

- I/We confirm that I/we have read and understand this Account Opening Form and Customer Information Statement, the relevant Customer Agreement(s), Terms of Business and any related supplementary documents including but not limited to the CRPQ and the risk disclosure statements. In particular, I/we have been invited to read the risk disclosure statements, ask questions and take independent advice. I/We also confirm that I/we wish to receive copies of the abovementioned documents by post.
  本人／本人等確認已閱讀及明白本開戶表格及客戶資料聲明書、相關開戶合約、客戶合約及任何有關補充文件（包括但不限於客戶風險取向問卷及風險披露聲明）。本人／本人等亦已獲邀閱讀風險披露聲明、發問及徵求獨立的意見。本人／本人等確認本人／本人等希望以郵遞方式收到有關文件副本。

- We ("Customer") hereby agree that the relevant HSBC Broking Companies do not assume any responsibility whatsoever for any interruption, loss of customer agreements and the related supplementary documents, third party interception, delay or failure in sending the abovementioned documents by post.
  本人等（「本公司」）同意對於以郵遞方式傳送上述文件時出現中斷、遺失開戶合約及有關補充文件、第三者干擾、延誤或失敗， 相關滙豐金融公司一概不會承擔任何責任。

- We ("Customer") undertake to keep the relevant HSBC Broking Companies indemnified at all times against, and to save the relevant HSBC Broking Companies harmless from all actions, proceedings, claims, loss, damage, costs and expenses which may be brought against the relevant HSBC Broking Companies or suffered or incurred by the relevant HSBC Broking Companies and which shall have arisen either directly or indirectly out of or in connection with the relevant HSBC Broking Companies' accepting the above instructions from us and acting thereon.
  本人等（「本公司」）承諾賠償相關滙豐金融公司隨時可能面對或引起的一切法律行動、訴訟、索償、損失、損毀、費用及開支或因此而蒙受的損失，無論此等行為是直接或間接源自或關乎相關滙豐金融公司接納本人／本人等的指示及執行該等指示。

- (For accounts to be opened with HSBC Broking Forex (Asia) Limited) We ("Customer") hereby undertake that any funds used by me/us for the purposes of leveraged foreign exchange trading is permitted under mainland China laws and regulations to be placed in an offshore account.
  （適用於開啟滙豐金融外匯（亞洲）有限公司戶口）本人等（「本公司」）承諾其資金進行槓桿式外匯買賣服務必須合乎中國內地就境外戶口的法例及條例。

- I/We declare that the information given and statements made in this form are, to the best of my/our knowledge and belief, true, correct and complete.
  本人／本人等聲明就本人／本人等所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature(s) of authorised signatory(ies) with company chop
授權簽署人簽署及公司蓋印

X ______________________________

Name(s) of authorised signatory(ies):
授權簽署人姓名：

Date:
日期：

For and on behalf of *(company name)*:
代表*（填入公司名稱）*：

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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