

## Information Statement for Relevant Person

### 資料聲明書 (有關人士)

**To: HSBC Broking Services (Asia) Limited 滙豐金融服務 (亞洲) 有限公司**  
**致: 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<sup>\*1</sup> 滙豐金融外匯 (亞洲) 有限公司<sup>\*1</sup>**  
**("relevant HSBC Broking Companies" refers to any or all of the above companies with which the Customer is applying for an account)**  
**(「相關滙豐金融公司」指客戶現正申請在任何或所有上述公司開戶的公司)**

- Note: 注意:
- The person completing this form ("Relevant Person") 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. If insufficient information is provided by the Relevant Person, 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.**  
 填寫此表格之人士(「有關人士」)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。若有關人士所提供的資料不足,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。
  - Each Relevant Person should fill out his/her/its own "Information Statement for Relevant Person".  
 每名有關人士應各自填寫其「有關人士資料聲明書(有關人士)」。
  - 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。
  - 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"。

### 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. Name of the Account Holder(s) in English 戶口持有人英文姓名	(For Relationship Manager to complete) (由客戶經理填寫)	
3. Name of the Relevant Person in English 其他有關人士英文姓名		
4. Relevant Person 有關人士	Declare as an Individual 以個人申報	<input type="checkbox"/> Authorised Representative to withdraw money and/or securities 授權提取款項及/或證券代表 <input type="checkbox"/> Authorised Signatory (Only applicable to Corporate Account) 授權簽署人(只適用公司戶口) <input type="checkbox"/> Director (Only applicable to Corporate Account) 董事(只適用公司戶口) <input type="checkbox"/> Key Controller <sup>*2</sup> (Only applicable to Corporate Account) 主要管理人 <sup>*2</sup> (只適用公司戶口) <input type="checkbox"/> Others (Please specify) 其他(請註明): _____ (Please complete sections A and F 請填寫甲部及己部)
		<input type="checkbox"/> Authorised Trader 授權交易人 (Please complete sections A, D and F 請填寫甲部、丁部及己部)
	Declare as a Body Corporate 以法人團體申報	<input type="checkbox"/> Ultimate Beneficial Owner (Only applicable to Corporate Account) 最終實益擁有人(只適用公司戶口) (Please complete sections A, B, C and F 請填寫甲部、乙部、丙部及己部)
		<input type="checkbox"/> Individual Guarantor 個人保證人 (Please complete sections A, B and F 請填寫甲部、乙部及己部)
5. Relationship with Account Holder(s) 與戶口持有人的關係	(Applicable only for Authorised Representative to withdraw money and/or securities/Authorised Trader/Individual Guarantor/Corporate Guarantor of individual/joint accounts only) (只適用於個人/聯名戶口的授權提取款項及/或證券代表/授權交易人/個人保證人/公司保證人)	

\*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。

\*2 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。



**Section A – This section should be completed if you declare  
as an Individual**

甲部 – 此部分由以個人申報填寫

## II. Identification and Personal Details 身份及個人資料

1. Full Name in English 英文全名	<input type="checkbox"/> Mr 先生 <input type="checkbox"/> Mrs 太太 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms 女士				
	Surname 姓		Given Name 名		
2. Full Name in Chinese (if applicable) 中文全名 (如適用)	Surname 姓		Given Name 名		
3. Previous Name(s) and Alias in English (if any) 曾用英文姓名及英文別名 (如有)	Surname 姓		Given Name 名		
4. Previous Name(s) and Alias in Chinese (if any) 曾用中文姓名及中文別名 (如有)	Surname 姓		Given Name 名		
5. Details of Identification Document 身份證明文件資料	Type 種類	<input type="checkbox"/> Hong Kong Identity Card 香港身份證	<input type="checkbox"/> Permanent Resident 永久性居民	<input type="checkbox"/> Non-Permanent Resident (Please provide details of passport or other identification document below) 非永久性居民 (請提供護照/其他證明文件資料)	
			Number 號碼		
		<input type="checkbox"/> Passport/Others 護照/其他	a. Place of Issue 簽發地		
			b. Number 號碼		
6. Date of Birth (DD/MM/YYYY) 出生日期 (日/月/年)	7. Nationality 國籍 (Country/Region) (國家/地區)		8. E-mail Address* <sup>4</sup> 電郵地址* <sup>4</sup>		
9. Residential Address* <sup>3</sup> 住宅地址* <sup>3</sup>	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) <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Kowloon 九龍 <input type="checkbox"/> 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)	(Applicable to Ultimate Beneficial Owner only) (只適用於最終實益擁有人) Month _____月 / Year _____年			
	Residential Type 住宅類別	(Applicable to Ultimate Beneficial Owner only) (只適用於最終實益擁有人) <input type="checkbox"/> Owned 自置 <input type="checkbox"/> Mortgaged 按揭 <input type="checkbox"/> Rented 租賃			

\*3 PO Box not accepted. 不接受郵政信箱。

\*4 For Corporate Account, SMS Notifications will be sent to Mobile 1 provided by authorised trader(s), and E-mail Notifications will be sent to e-mail address provided by authorised trader(s), which are the mandatory fields for applying digital trading services.  
對於授權交易人(公司戶口), 手提電話 1 及電郵地址將用作接收短訊及電郵提示, 若客戶申請網上交易服務, 此項必須提供。

## II. Identification and Personal Details (Continued) 身份及個人資料 (續)

10. Permanent Address* <sup>3</sup> 永久地址* <sup>3</sup>	<input type="checkbox"/> 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) <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Kowloon 九龍 <input type="checkbox"/> 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)		
11. Correspondence Address 通訊地址	<input type="checkbox"/> Same as Residential Address 與住宅地址相同		<input type="checkbox"/> Same as Permanent Address 與永久地址相同	
	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) <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Kowloon 九龍 <input type="checkbox"/> 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。				
12. 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))		Country/Region Code 國家/區域編號	Area Code 地區編號	Number 號碼
	a. Mobile 1 (if any) * <sup>4</sup> 手提電話 1 (如有) * <sup>4</sup>			
	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)			

\*<sup>3</sup> PO Box not accepted. 不接受郵政信箱。

\*<sup>4</sup> For Corporate Account, SMS Notifications will be sent to Mobile 1 provided by authorised trader(s), and E-mail Notifications will be sent to e-mail address provided by authorised trader(s), which are the mandatory fields for applying digital trading services.  
對於授權交易人(公司戶口)，手提電話 1 及電郵地址將用作接收短訊及電郵提示，若客戶申請網上交易服務，此項必須提供。

### III. 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?

閣下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?

閣下是否為滙豐、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證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。

I/We declare that I/we am/are not 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 ("Regulated Person"). Otherwise, I/we understand that I/we am/are required to provide to the relevant HSBC Broking Companies written consent(s) from my/our employer(s) before I/we can open and operate this account. I/We undertake to promptly notify the relevant HSBC Broking Companies if I/we become or cease to be a Regulated Person.

**Note:** 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).

本人／本人等聲明本人或本人等現時並非為持牌人士／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」），否則本人／本人等明白本人／本人等必須向相關滙豐金融公司提供本人／本人等之僱主所發出的同意書，方可以於相關滙豐金融公司開立及使用此投資戶口。本人／本人等並承諾如將出任或不再出任受規管人士，將立即通知相關滙豐金融公司。

註：有關於此聲明中提及持牌人士；負責人員；持牌機構和註冊機構之定義，請參閱證券及期貨條例（香港法例第 571 章）。有關於此聲明中提及相關人士和行政人員之定義，請參閱銀行業條例（香港法例第 155 章）。

**Section B – This section should be completed by  
Ultimate Beneficial Owner/Individual Guarantor**

乙部 – 此部分由最終實益擁有人／  
個人保證人

#### IV. Additional Personal Information 補充個人資料

1. Previous Address <sup>*6</sup> 前址 <sup>*6</sup> (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) <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Kowloon 九龍 <input type="checkbox"/> 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. Multiple Nationalities 多重國籍 (Country/Region) (國家/地區)	<input type="checkbox"/> Yes 是	Nationality 2 國籍 2	<input type="checkbox"/> No 否
		Nationality 3 (if any) 國籍 3 (如有)	
3. 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)	Part A 甲部	Part B 乙部	
	<input type="checkbox"/> a. Self-Employed 自僱	<input type="checkbox"/> i. Business Owner 東主	<input type="checkbox"/> ii. Sole Trader 獨資經營者
	<input type="checkbox"/> b. Full-time Employed 全職	<input type="checkbox"/> i. Employee 僱員	<input type="checkbox"/> ii. Key Controller <sup>*5</sup> 主要管理人 <sup>*5</sup>
	<input type="checkbox"/> c. Part-time Employed 兼職	<input type="checkbox"/> i. Employee 僱員	<input type="checkbox"/> ii. Key Controller <sup>*5</sup> 主要管理人 <sup>*5</sup>
	<input type="checkbox"/> d. Not Currently Employed 非在職		
	<input type="checkbox"/> e. Housewife 家庭主婦		
	<input type="checkbox"/> f. Student 學生		
	<input type="checkbox"/> g. Retired 退休		
	For Self-Employed, Full-time Employed or Part-time Employed Relevant Person, please also complete the below Question 4 to Question 7. 如其他有關人士職業狀況為自僱/全職/兼職，請繼續回答問題 4 至問題 7。		
4. Occupation 職業		5. Job Title 工作職位 (if applicable) (如適用)	
6. Estimated Liquid Net Worth <sup>*7</sup> 預計流動資產淨值 <sup>*7</sup>	HKD 港幣 _____	7. Annual Income from Employment 年工作收入	<input type="checkbox"/> HKD 港幣 0 <input type="checkbox"/> HKD 港幣 1 – 500,000 <input type="checkbox"/> HKD 港幣 500,001 – 1,000,000 <input type="checkbox"/> HKD 港幣 1,000,001 – 2,000,000 <input type="checkbox"/> HKD 港幣 2,000,001 – 3,000,000 <input type="checkbox"/> HKD 港幣 >3,000,000

<sup>\*5</sup> 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。

<sup>\*6</sup> PO Box not accepted. 不接受郵政信箱。

<sup>\*7</sup> Exclusive of real estate, automobile and insurance. 不包括物業，汽車及保險。

#### IV. Additional Personal Information (Continued) 補充個人資料 (續)

<p>8. Employer/Business 僱主/公司 <b>(Please select one only from Part b that best describes your industry)</b> (請從 b 部選擇一項最能描述你的業務)</p>	<p>a. Name 名稱</p>																																					
	<p>b. Industry 業務</p> <table border="0"> <tr> <td><input type="checkbox"/> Amusement &amp; recreation Services 遊樂園及康樂活動</td> <td><input type="checkbox"/> Manufacturing 製造</td> </tr> <tr> <td><input type="checkbox"/> Business Services 商用服務</td> <td><input type="checkbox"/> Personal/Household Services 個人/家居服務</td> </tr> <tr> <td><input type="checkbox"/> Charity (Non-governmental bodies) 慈善組織</td> <td><input type="checkbox"/> Primary &amp; Pre-primary Education 小學及學前教育</td> </tr> <tr> <td><input type="checkbox"/> Communications 電訊</td> <td><input type="checkbox"/> Public Services 公共服務</td> </tr> <tr> <td><input type="checkbox"/> Construction 建築</td> <td><input type="checkbox"/> Real Estate 地產</td> </tr> <tr> <td><input type="checkbox"/> Engineering 工程</td> <td><input type="checkbox"/> Restaurants 飲食</td> </tr> <tr> <td><input type="checkbox"/> Finance/Insurance 金融/保險</td> <td><input type="checkbox"/> Retail 零售</td> </tr> <tr> <td><input type="checkbox"/> General secondary education 中學</td> <td><input type="checkbox"/> Science and Technology 科學及資訊科技</td> </tr> <tr> <td><input type="checkbox"/> Hairdressing &amp; Beauty 理髮及美容</td> <td><input type="checkbox"/> Sports Activities 體育活動</td> </tr> <tr> <td><input type="checkbox"/> Health Care 醫療服務</td> <td><input type="checkbox"/> Tech &amp; Vocational secondary education 職業及專業教育</td> </tr> <tr> <td><input type="checkbox"/> Higher education &amp; University 大學及專上課程</td> <td><input type="checkbox"/> Transport 運輸</td> </tr> <tr> <td><input type="checkbox"/> Hotel/Boarding Houses 酒店/旅館</td> <td><input type="checkbox"/> Travel &amp; Tourism 旅遊</td> </tr> <tr> <td><input type="checkbox"/> Import/Export 出入口</td> <td><input type="checkbox"/> Union &amp; Organizations 工會/組織活動</td> </tr> <tr> <td><input type="checkbox"/> Industrial 工業</td> <td><input type="checkbox"/> Utilities (Electricity) 公用事業 (電力)</td> </tr> <tr> <td><input type="checkbox"/> Legal 法律</td> <td><input type="checkbox"/> Utilities (Gas) 公用事業 (煤氣)</td> </tr> <tr> <td><input type="checkbox"/> Leisure &amp; Entertainment 娛樂</td> <td><input type="checkbox"/> Utilities (Water) 公用事業 (水務)</td> </tr> <tr> <td><input type="checkbox"/> Logistics 物流</td> <td><input type="checkbox"/> Wholesale 批發</td> </tr> <tr> <td><input type="checkbox"/> Others (please specify) 其他 (請註明)</td> <td></td> </tr> </table>			<input type="checkbox"/> Amusement & recreation Services 遊樂園及康樂活動	<input type="checkbox"/> Manufacturing 製造	<input type="checkbox"/> Business Services 商用服務	<input type="checkbox"/> Personal/Household Services 個人/家居服務	<input type="checkbox"/> Charity (Non-governmental bodies) 慈善組織	<input type="checkbox"/> Primary & Pre-primary Education 小學及學前教育	<input type="checkbox"/> Communications 電訊	<input type="checkbox"/> Public Services 公共服務	<input type="checkbox"/> Construction 建築	<input type="checkbox"/> Real Estate 地產	<input type="checkbox"/> Engineering 工程	<input type="checkbox"/> Restaurants 飲食	<input type="checkbox"/> Finance/Insurance 金融/保險	<input type="checkbox"/> Retail 零售	<input type="checkbox"/> General secondary education 中學	<input type="checkbox"/> Science and Technology 科學及資訊科技	<input type="checkbox"/> Hairdressing & Beauty 理髮及美容	<input type="checkbox"/> Sports Activities 體育活動	<input type="checkbox"/> Health Care 醫療服務	<input type="checkbox"/> Tech & Vocational secondary education 職業及專業教育	<input type="checkbox"/> Higher education & University 大學及專上課程	<input type="checkbox"/> Transport 運輸	<input type="checkbox"/> Hotel/Boarding Houses 酒店/旅館	<input type="checkbox"/> Travel & Tourism 旅遊	<input type="checkbox"/> Import/Export 出入口	<input type="checkbox"/> Union & Organizations 工會/組織活動	<input type="checkbox"/> Industrial 工業	<input type="checkbox"/> Utilities (Electricity) 公用事業 (電力)	<input type="checkbox"/> Legal 法律	<input type="checkbox"/> Utilities (Gas) 公用事業 (煤氣)	<input type="checkbox"/> Leisure & Entertainment 娛樂	<input type="checkbox"/> Utilities (Water) 公用事業 (水務)	<input type="checkbox"/> Logistics 物流	<input type="checkbox"/> Wholesale 批發	<input type="checkbox"/> Others (please specify) 其他 (請註明)
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<input type="checkbox"/> Others (please specify) 其他 (請註明)																																						
<p>9. 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)</p>	<p>(Please choose one or more below) (請選擇下列一項或多項)</p>																																					
	<p>Details 資料</p>	<p>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)</p>																																				
		<p>Primary/Main 主要</p>	<p>Others 其他</p>																																			
	<input type="checkbox"/> Earnings from Business Interests 商業/公司收益																																					
	<input type="checkbox"/> Earnings from Work 工作收入																																					
	<input type="checkbox"/> From Spouse/Partner 由配偶/伴侶給予																																					
	<input type="checkbox"/> Personal Savings 個人儲蓄																																					
	<input type="checkbox"/> Investment Return (Earning/Income)/Investment Matured 投資收益 (盈利/收入) / 到期投資																																					
	<input type="checkbox"/> Inheritance 資產繼承																																					
	<input type="checkbox"/> Sale of Assets (eg Property, Business Ownership) 資產轉售 (如物業、所持有的公司)																																					
<input type="checkbox"/> Rental Income 租金收入																																						
<input type="checkbox"/> Others (Please specify) 其他 (請註明)																																						



#### IV. Additional Personal Information (Continued) 補充個人資料 (續)

<p>10. 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)</p>	<input type="checkbox"/> 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
	<input type="checkbox"/> Earnings from Business Interests 商業/公司收益		
	<input type="checkbox"/> Earnings from Work 工作收入		
	<input type="checkbox"/> From Spouse/Partner 由配偶/伴侶給予		
	<input type="checkbox"/> Personal Savings 個人儲蓄		
	<input type="checkbox"/> Investment Return (Earning/Income)/Investment Matured 投資收益 (盈利/收入) / 到期投資		
	<input type="checkbox"/> Inheritance 資產繼承		
	<input type="checkbox"/> Sale of Assets (eg Property, Business Ownership) 資產轉售 (如物業、所持有的公司)		
<input type="checkbox"/> Rental Income 租金收入			
<input type="checkbox"/> Others (Please specify) 其他 (請註明)			
_____			

**Section C – This section should be completed by Individual  
Ultimate Beneficial Owner**

丙部 – 此部分由個人最終實益擁有人填寫

## V. Other Information 其他資料

<p>1. 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別編號 (以下簡稱「稅務編號」)</p>	<p>If you are a controlling person (eg an individual who has a controlling ownership interest greater than 25% of issued share capital) of the customer who is a Passive Entity that is not a Financial Institution "Passive NFE", 就戶口持有人是「被動非財務實體」，如您是擁有其控制股權的個人（如擁有多於百分之二十五的已發行股本），</p> <p>please complete the following table indicating: 請提供以下資料，列明：</p> <p>a. each country/region/jurisdiction where the controlling person is a resident for tax purposes; and 控權人的國家／地區／稅務管轄區，亦即控權人的稅務管轄區；及</p> <p>b. the controlling person's TIN for each country/region/jurisdiction indicated. 該國家／地區／稅務管轄區給控權人的稅務編號。</p>				
	<p>If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number (HKID). 如控權人是香港稅務居民，稅務編號是其香港身分證號碼。</p> <p>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：</p> <p># Reason A – The country/region/jurisdiction where the controlling person is a resident for tax purposes does not issue TINs to its residents. 理由 A – 控權人的國家／地區／稅務管轄區並沒有向其居民發出稅務編號。</p> <p># Reason B – The controlling person is unable to obtain a TIN. Explain why the controlling person is unable to obtain a TIN if you have selected this reason. 理由 B – 控權人不能取得稅務編號。如選取這一理由，解釋控權人不能取得稅務編號的原因。</p> <p>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 – 控權人毋須提供稅務編號。稅務管轄區的主管機關不需要控權人披露稅務編號。</p>				
	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 controlling person is unable to obtain a TIN if you have selected Reason B 如選取理由 B，請解釋控權人不能取得稅務編號的原因	
	(1)				
	(2)				
	(3)				
(4)					
(5)					
<p><input type="checkbox"/> (If the ultimate beneficial owner is an existing customer of any of the relevant HSBC Broking Companies) I confirm that the information which I previously provided in respect of Part II of this form is true, correct and complete. (如果最終實益擁有人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 II 部的資料均屬真實、正確和完備。</p>					
<p>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 controlling person 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 controlling person 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) 把該等資料和關於控權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，從而把資料轉交到控權人的稅務管轄區的稅務當局。</p> <p>I certify that I am the controlling person of the account holder of all the account(s) currently held with the relevant HSBC Broking Companies. 本人證明，就戶口持有人現於相關滙豐金融公司持有的所有戶口，本人是控權人。</p> <p>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 Section C of this form or causes the information contained in Parts II, IV and V 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 V 部所述的個人的稅務居民身分，或引致本表格第 II 部、第 IV 部和第 V 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。</p> <p><b>Note:</b> 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: <a href="http://www.ird.gov.hk/eng/tax/dta_aeoi.htm">http://www.ird.gov.hk/eng/tax/dta_aeoi.htm</a> <b>備註：</b>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 <a href="http://www.ird.gov.hk/chi/tax/dta_aeoi.htm">http://www.ird.gov.hk/chi/tax/dta_aeoi.htm</a> 了解香港實施自動交換財務帳戶資料的詳情。</p> <p><b>Warning:</b> 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. <b>警告：</b>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。</p>					

## VI. Customer Declaration 客戶聲明

<b>1. Related Accounts</b> 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: <span style="float: right;"><input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否</span> 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：	
	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：

**Section D – This section should be completed by  
Authorised Trader**

丁部 – 此部分由授權交易人填寫

## VII. Additional Personal Information 補充個人資料

1. Education Level 教育程度	<input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> University or above 大學或以上	<input type="checkbox"/> Professional Qualification 專業資格 <input type="checkbox"/> Others (Please specify) 其他 (請註明) _____		
For Ultimate Beneficial Owner/Individual Guarantor declares as Authorised Trader, please skip question 2 -5 in this section. 如最終實益擁有人/個人保證人同時擔任授權交易人，請跳過此部份問題 2 至問題 5。				
2. 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)	Part A 甲部	Part B 乙部		
	<input type="checkbox"/> a. Self-Employed 自僱	<input type="checkbox"/> i. Business Owner 東主	<input type="checkbox"/> ii Sole Trader 獨資經營者	
	<input type="checkbox"/> b. Full-time Employed 全職	<input type="checkbox"/> i. Employee 僱員	<input type="checkbox"/> ii. Key Controller* <sup>8</sup> 主要管理人* <sup>8</sup>	
	<input type="checkbox"/> c. Part-time Employed 兼職	<input type="checkbox"/> i. Employee 僱員	<input type="checkbox"/> ii. Key Controller* <sup>8</sup> 主要管理人* <sup>8</sup>	
	<input type="checkbox"/> d. Not Currently Employed 非在職			
	<input type="checkbox"/> e. Housewife 家庭主婦			
	<input type="checkbox"/> f. Student 學生			
3. Occupation 職業		4. Job Title 工作職位 (if applicable) (如適用)		
5. Employer/Business 僱主/公司 (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)	a. Name 名稱			
	b. Industry 業務 <table border="0" style="width:100%"> <tr> <td style="width:50%"> <input type="checkbox"/> Amusement &amp; recreation Services 遊樂園及康樂活動  <input type="checkbox"/> Business Services 商用服務  <input type="checkbox"/> Charity (Non-governmental bodies) 慈善組織  <input type="checkbox"/> Communications 電訊  <input type="checkbox"/> Construction 建築  <input type="checkbox"/> Engineering 工程  <input type="checkbox"/> Finance/Insurance 金融/保險  <input type="checkbox"/> General secondary education 中學  <input type="checkbox"/> Hairdressing &amp; Beauty 理髮及美容  <input type="checkbox"/> Health Care 醫療服務  <input type="checkbox"/> Higher education &amp; University 大學及專上課程  <input type="checkbox"/> Hotel/Boarding Houses 酒店/旅館  <input type="checkbox"/> Import/Export 出入口  <input type="checkbox"/> Industrial 工業  <input type="checkbox"/> Legal 法律  <input type="checkbox"/> Leisure &amp; Entertainment 娛樂  <input type="checkbox"/> Logistics 物流  <input type="checkbox"/> Others (please specify) 其他 (請註明)            _____         </td> <td style="width:50%"> <input type="checkbox"/> Manufacturing 製造  <input type="checkbox"/> Personal/Household Services 個人/家居服務  <input type="checkbox"/> Primary &amp; Pre-primary Education 小學及學前教育  <input type="checkbox"/> Public Services 公共服務  <input type="checkbox"/> Real Estate 地產  <input type="checkbox"/> Restaurants 飲食  <input type="checkbox"/> Retail 零售  <input type="checkbox"/> Science and Technology 科學及資訊科技  <input type="checkbox"/> Sports Activities 體育活動  <input type="checkbox"/> Tech &amp; Vocational secondary education 職業及專業教育  <input type="checkbox"/> Transport 運輸  <input type="checkbox"/> Travel &amp; Tourism 旅遊  <input type="checkbox"/> Union &amp; Organizations 工會/組織活動  <input type="checkbox"/> Utilities (Electricity) 公用事業 (電力)  <input type="checkbox"/> Utilities (Gas) 公用事業 (煤氣)  <input type="checkbox"/> Utilities (Water) 公用事業 (水務)  <input type="checkbox"/> Wholesale 批發         </td> </tr> </table>			<input type="checkbox"/> Amusement & recreation Services 遊樂園及康樂活動 <input type="checkbox"/> Business Services 商用服務 <input type="checkbox"/> Charity (Non-governmental bodies) 慈善組織 <input type="checkbox"/> Communications 電訊 <input type="checkbox"/> Construction 建築 <input type="checkbox"/> Engineering 工程 <input type="checkbox"/> Finance/Insurance 金融/保險 <input type="checkbox"/> General secondary education 中學 <input type="checkbox"/> Hairdressing & Beauty 理髮及美容 <input type="checkbox"/> Health Care 醫療服務 <input type="checkbox"/> Higher education & University 大學及專上課程 <input type="checkbox"/> Hotel/Boarding Houses 酒店/旅館 <input type="checkbox"/> Import/Export 出入口 <input type="checkbox"/> Industrial 工業 <input type="checkbox"/> Legal 法律 <input type="checkbox"/> Leisure & Entertainment 娛樂 <input type="checkbox"/> Logistics 物流 <input type="checkbox"/> Others (please specify) 其他 (請註明) _____
<input type="checkbox"/> Amusement & recreation Services 遊樂園及康樂活動 <input type="checkbox"/> Business Services 商用服務 <input type="checkbox"/> Charity (Non-governmental bodies) 慈善組織 <input type="checkbox"/> Communications 電訊 <input type="checkbox"/> Construction 建築 <input type="checkbox"/> Engineering 工程 <input type="checkbox"/> Finance/Insurance 金融/保險 <input type="checkbox"/> General secondary education 中學 <input type="checkbox"/> Hairdressing & Beauty 理髮及美容 <input type="checkbox"/> Health Care 醫療服務 <input type="checkbox"/> Higher education & University 大學及專上課程 <input type="checkbox"/> Hotel/Boarding Houses 酒店/旅館 <input type="checkbox"/> Import/Export 出入口 <input type="checkbox"/> Industrial 工業 <input type="checkbox"/> Legal 法律 <input type="checkbox"/> Leisure & Entertainment 娛樂 <input type="checkbox"/> Logistics 物流 <input type="checkbox"/> Others (please specify) 其他 (請註明) _____	<input type="checkbox"/> Manufacturing 製造 <input type="checkbox"/> Personal/Household Services 個人/家居服務 <input type="checkbox"/> Primary & Pre-primary Education 小學及學前教育 <input type="checkbox"/> Public Services 公共服務 <input type="checkbox"/> Real Estate 地產 <input type="checkbox"/> Restaurants 飲食 <input type="checkbox"/> Retail 零售 <input type="checkbox"/> Science and Technology 科學及資訊科技 <input type="checkbox"/> Sports Activities 體育活動 <input type="checkbox"/> Tech & Vocational secondary education 職業及專業教育 <input type="checkbox"/> Transport 運輸 <input type="checkbox"/> Travel & Tourism 旅遊 <input type="checkbox"/> Union & Organizations 工會/組織活動 <input type="checkbox"/> Utilities (Electricity) 公用事業 (電力) <input type="checkbox"/> Utilities (Gas) 公用事業 (煤氣) <input type="checkbox"/> Utilities (Water) 公用事業 (水務) <input type="checkbox"/> Wholesale 批發			

\*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。

## VIII. Authorised Trader's Investment Product Knowledge and Experience Profile

### 授權交易人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 (Not applicable to Corporate accounts) 如有, 請提供以下資料 (不適用於公司戶口)
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	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<input type="checkbox"/> Related qualification 相關資格 <input type="checkbox"/> Related work experience 相關工作經驗 <input type="checkbox"/> Attended related trainings or courses 曾參加有關培訓或課程 <input type="checkbox"/> Past trading experience 過往交易經驗 <input type="checkbox"/> Others, please specify in below: 其他, 請於下方註明: _____	<input type="checkbox"/> No 否 <input type="checkbox"/> 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	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<input type="checkbox"/> Related qualification 相關資格 <input type="checkbox"/> Related work experience 相關工作經驗 <input type="checkbox"/> Attended related trainings or courses 曾參加有關培訓或課程 <input type="checkbox"/> Past trading experience 過往交易經驗 <input type="checkbox"/> Others, please specify in below: 其他, 請於下方註明: _____	<input type="checkbox"/> No 否 <input type="checkbox"/> 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 <sup>*9</sup> 複雜債券 <sup>*9</sup> (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)	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<input type="checkbox"/> Related qualification 相關資格 <input type="checkbox"/> Related work experience 相關工作經驗 <input type="checkbox"/> Attended related trainings or courses 曾參加有關培訓或課程 <input type="checkbox"/> Past trading experience 過往交易經驗 <input type="checkbox"/> Others, please specify in below: 其他, 請於下方註明: _____	<input type="checkbox"/> No 否 <input type="checkbox"/> 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

\*9 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)。

## VIII. Authorised Trader's Investment Product Knowledge and Experience Profile (Continued)

### 授權交易人投資產品知識及經驗概況（續）

<b>Leveraged Foreign Exchange</b> 槓桿式外匯	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<input type="checkbox"/> Related qualification 相關資格 <input type="checkbox"/> Related work experience 相關工作經驗 <input type="checkbox"/> Attended related trainings or courses 曾參加有關培訓或課程 <input type="checkbox"/> Past trading experience 過往交易經驗 <input type="checkbox"/> Others, please specify in below: 其他，請於下方註明： _____	<input type="checkbox"/> No 否 <input type="checkbox"/> 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
<b>Precious Metals</b> 貴金屬	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<input type="checkbox"/> Related qualification 相關資格 <input type="checkbox"/> Related work experience 相關工作經驗 <input type="checkbox"/> Attended related trainings or courses 曾參加有關培訓或課程 <input type="checkbox"/> Past trading experience 過往交易經驗 <input type="checkbox"/> Others, please specify in below: 其他，請於下方註明： _____	<input type="checkbox"/> No 否 <input type="checkbox"/> 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

## IX. Authorised Trader's Derivatives Knowledge and Experience Profile

### 授權交易人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）	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes, because (please choose one or more below): 有，因為（請選擇下列一項或多項）： <input type="checkbox"/> 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 <input type="checkbox"/> Gained work experience related to derivatives 工作經驗與衍生工具產品有關 <input type="checkbox"/> Attended training or course on derivatives 曾參加有關衍生工具產品的培訓或課程 <b>(Please provide supporting evidence of knowledge of derivatives such as trading statements, training certificates or name cards etc.)</b> （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。）
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## IX. Authorised Trader's Derivatives Knowledge and Experience Profile (Continued)

### 授權交易人衍生工具產品投資知識及經驗概況 (續)

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 (Not applicable to Corporate accounts) 如有, 請提供以下資料 (不適用於公司戶口)
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)	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<input type="checkbox"/> Related qualification 相關資格 <input type="checkbox"/> Related work experience 相關工作經驗 <input type="checkbox"/> Attended related trainings or courses 曾參加有關培訓或課程 <input type="checkbox"/> Past trading experience 過往交易經驗 <input type="checkbox"/> Others, please specify in below: 其他, 請於下方註明: _____	<input type="checkbox"/> No 否 <input type="checkbox"/> 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	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<input type="checkbox"/> Related qualification 相關資格 <input type="checkbox"/> Related work experience 相關工作經驗 <input type="checkbox"/> Attended related trainings or courses 曾參加有關培訓或課程 <input type="checkbox"/> Past trading experience 過往交易經驗 <input type="checkbox"/> Others, please specify in below: 其他, 請於下方註明: _____	<input type="checkbox"/> No 否 <input type="checkbox"/> 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	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<input type="checkbox"/> Related qualification 相關資格 <input type="checkbox"/> Related work experience 相關工作經驗 <input type="checkbox"/> Attended related trainings or courses 曾參加有關培訓或課程 <input type="checkbox"/> Past trading experience 過往交易經驗 <input type="checkbox"/> Others, please specify in below: 其他, 請於下方註明: _____	<input type="checkbox"/> No 否 <input type="checkbox"/> 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	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	<input type="checkbox"/> Related qualification 相關資格 <input type="checkbox"/> Related work experience 相關工作經驗 <input type="checkbox"/> Attended related trainings or courses 曾參加有關培訓或課程 <input type="checkbox"/> Past trading experience 過往交易經驗 <input type="checkbox"/> Others, please specify in below: 其他, 請於下方註明: _____	<input type="checkbox"/> No 否 <input type="checkbox"/> 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

**Section E – This section should be completed if you declare  
as a Body Corporate**

戊部 – 此部分由以法人團體申報填寫

## X. Company Details 公司資料

1. Registered Name of Company in English 公司註冊英文名稱			
2. Registered Name of Company in Chinese (if any) 公司註冊中文名稱 (如有)			
3. "Trading as" Name of Company in English (if any) 經營英文名稱 (如有)			
4. "Trading as" Name of Company in Chinese (if any) 經營中文名稱 (如有)			
5. Place of Incorporation 註冊地點			6. Date of Incorporation (DD/MM/YY) 註冊日期 (日/月/年)
7. Listing on Stock Exchange 是否於交易所上市	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否		8. Name(s) of Stock Exchange (Only applicable to the listed company) 交易所名稱 (只適合於上市公司)
9. Certificate of Incorporation Number (Only for Key Controller, Director and Authorised Signatory) 公司註冊證書號碼 (只適用於主要管理人/董事/授權簽署人)			10. Business Registration Number (if applicable) (Only for Key Controller, Director and Authorised Signatory) 商業登記號碼 (如適用) (只適用於主要管理人/董事/授權簽署人)
11. Capability of Issuing Bearer Shares 發行不記名股份的能力	<input type="checkbox"/> Incapable to issue bearer shares 不能夠發行不記名股份 <input type="checkbox"/> Capable to issue bearer shares 能夠發行不記名股份 <input type="checkbox"/> We declare that none of our shares have been issued in or are held in bearer form. 本人等聲明沒有發行或持有不記名股份。		
12. Registered Address (Only for Key Controller, Director and Authorised Signatory) 註冊地址 (只適用於主要管理人/董事/授權簽署人)	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) <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Kowloon 九龍 <input type="checkbox"/> 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)	
13. Principal Place of Business Address (Only for Key Controller) 主要營業地址 (只適用於主要管理人)	<input type="checkbox"/> 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) <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Kowloon 九龍 <input type="checkbox"/> 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)	

**XI. Trust/Foundation as Beneficial Owner –Trust/Foundation Information**  
**作為最終實益擁有人之信託／基金會資料**

1. Full name of The Trust/Foundation in English 信託／基金會註冊英文名稱					
2. Full name of The Trust/Foundation in Chinese (if any) 信託／基金會註冊中文名稱 (如有)					
3. Country/Region of Trust/Foundation Establishment 信託／基金會成立國家／地區					
4. Nature, Purpose and objectives of the Trust /Foundation 信託／基金會的性質，目的和宗旨					
5. Is this a Trust or a Foundation 信託／基金會	<input type="checkbox"/> Trust 信託	<input type="checkbox"/> Foundation 基金會	6. Percentage of Ownership 持股量%		
7. Does the Trust/Foundation identify a Class of Beneficiaries 是否確定某類受益人	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否	8. Please Specify if Yes 如是，請註明	9. Percentage of Ownership 持股量%	
10. Name of Regulator 監管機構名稱			11. Approximate Number of Beneficiaries 大約受益人人數		
12. 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) <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Kowloon 九龍 <input type="checkbox"/> 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)		

## XII. Customer Declaration 客戶聲明

### 1. Relationship Declaration 關係申報

Is your company 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? 貴公司是否與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有關連？

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 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

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。

**Section F – This section should be completed by  
All Relevant Persons**  
己部 – 此部分由所有有關人士填寫

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

I/We confirm that I/we have read and understand the latest data privacy policy (the "Policy") a copy of which has been given to me/us, and I/we understand and agree that my/our personal data/any personal data provided by me/us may be transferred and used in accordance with the Policy.

本人/本人等確認本人/本人等已閱讀並理解關於已提供予本人/本人等有關最新資料私隱政策（以下簡稱「該政策」）之副本，並明白及同意本人/本人等所提供的本人/本人等個人資料/任何個人資料，均可能會根據該政策被轉移及使用。

(For body corporate) We 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.

（適用於法人團體）本人等確認並保證本人等已獲得/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。本人等同意，就本人等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。

### XIV. Customer's Representation and Warranties 客戶的聲明及保證

I/We represent and warrant that the information provided herein and any supporting documents presented to the relevant HSBC Broking Companies are true, complete and accurate. The relevant HSBC Broking Companies are entitled to rely fully on such information for all purposes and I/we authorise the relevant HSBC Broking Companies to verify the same from any source it may deem fit. I/We also undertake to notify the relevant HSBC Broking Companies immediately of any changes to the above information.

本人/本人等在此聲明並保證本文所提供的資料及向相關滙豐金融公司所呈交的任何證明文件是真實、完整及正確。相關滙豐金融公司有權完全依賴以上資料及本人/本人等授權相關滙豐金融公司透過任何視為適合的來源去核對以上資料。本人/本人等亦承諾會馬上通知相關滙豐金融公司有關該些資料的任何變更。

## X

Signature of Authorised Representative to withdraw money and/or securities/Authorised Signatory/Authorised Trader/Director\*<sup>10</sup>/Individual Guarantor/Key Controller\*<sup>10</sup>/

Beneficial Owner\*<sup>10</sup>/Other Relevant Person/Authorised Signatory(ies) of the Corporate Guarantor with Company Chop/Authorised Signatory(ies) with company chop

授權提取款項及/或證券代表/授權簽署人/授權交易人/董事\*<sup>10</sup>/個人保證人/主要管理人\*<sup>10</sup>/實益擁有人\*<sup>10</sup>/其他有關人士簽署/公司保證人授權簽署人簽署及公司蓋印/授權簽署人簽署及公司蓋印

For and on behalf of (Company Name):

代表（填入公司名稱）：

Date:

日期：

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

註：本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。

\*<sup>10</sup> To be signed by Authorised Representative/Authorised Signer if the Key Controller/Beneficial Owner/Director is a Body Corporate.  
如果主要管理人/實益擁有人/董事是法人團體，請由授權代表/授權簽署人簽署

**XV. Relationship Manager Declaration (To be completed by the Relationship Manager)**  
**客戶經理聲明 (由客戶經理填寫)**

The undersigned Relationship Manager (“RM”)/Licensed person has provided the Relevant Person with the risk disclosure statements and invited the Relevant Person to read, ask questions and take independent advice on the risk disclosure statements, this Information Statement and any related supplementary documents.

以下簽署的客戶主任／持牌人士已向有關人士提供風險披露聲明及邀請客戶閱讀、發問並就風險披露聲明、本資料聲明書及任何有關補充文件獲取獨立意見。

RM Number 客戶經理編號	RM Signature 客戶經理簽署
RM Name 客戶經理名稱	
CE Number CE 號碼	Date 日期