

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}

Points to Note for Account Opening (Individual/Joint Account) **開設戶口注意事項（個人／聯名戶口）**

Please refer to the following list on the required information and visit us at Level 25, HSBC Main Building, 1 Queen's Road Central, Hong Kong for account opening.

請參考下列開戶時所需提供的文件及資料，並親臨香港皇后大道中 1 號香港上海滙豐銀行總行大廈 25 樓開設戶口。

For each of the Account Holder(s), please provide:

每位戶口持有人，請提供：

1. **HSBC Bank Account Information in the name of account holder(s) (eg latest HSBC bank statement issued within the last 3 months or HSBC Premier Customer ATM card)**
載有戶口持有人姓名的香港上海滙豐銀行戶口結單資料（例如香港上海滙豐銀行最近三個月內發出的銀行戶口結單或滙豐卓越理財客戶銀行提款卡）
2. **Liquid Asset Proof with HKD1 million or above issued within the last 3 months (eg bank statements showing HKD1 million or above and/or any other liquid assets proof)**
最近三個月內發出港幣一百萬元或以上流動資產證明（例如銀行結單顯示港幣一百萬元或以上及／或其他流動資產證明）
3. **Identification document(s) of each of the Account Holder(s) (Original)**
每位戶口持有人的身份證明文件（正本）
 - a) **If the Account Holder is a Hong Kong permanent resident, please provide Hong Kong identity card.**
如戶口持有人是香港永久性居民，請提供香港身份證。
 - b) **If the Account Holder is a Hong Kong non-permanent resident, please provide Hong Kong identity card and nationality proof such as a valid passport or photo-bearing travel document.**
如戶口持有人是非香港永久性居民，請提供香港身份證及國籍證明，例如有效旅遊護照或載有照片的有效旅遊文件。
 - c) **If the Account Holder is a non-Hong Kong resident, please provide nationality proof such as a valid passport or photo-bearing travel document and Hong Kong immigration entry record.**
如戶口持有人是非香港居民，請提供國籍證明，例如有效旅遊護照或載有照片的有效旅遊文件及香港入境紀錄。
4. **Residential address proof² (and permanent address proof if different) such as utility bills, correspondence from a Government department/agency or mobile phone or pay TV statement issued within the last 3 months bearing residential address**
住宅地址證明²（及永久地址證明如不同），例如最近三個月內發出載有住宅地址的公用事業賬單、政府部門或機構信函或手提電話／收費電視結單
5. **If the Account Holder is a student, please provide student status proof (eg admission letter, student ID card).**
如戶口持有人是學生，請提供學生身份證明（例如准許入學信函、學生證）。

If the account holder will appoint the authorised trader and/or authorised person to withdraw money and/or securities (together referred as "Relevant Person"), please provide:

如戶口持有人將委任授權交易人或／及授權提取款項及／或證券代表（統稱「有關人士」），請提供：

6. **Identification document of Relevant Person**
有關人士的身份證明文件
 - a) **If the Relevant Person is a Hong Kong permanent resident, please provide Hong Kong identity card.**
如有關人士是香港永久性居民，請提供香港身份證。
 - b) **If the Relevant Person is a Hong Kong non-permanent resident, please provide Hong Kong identity card and nationality proof such as a valid passport/photo-bearing travel document.**
如有關人士是非香港永久性居民，請提供香港身份證及國籍證明，例如有效旅遊護照或載有照片的旅遊文件。
 - c) **If the Relevant Person is a non-Hong Kong resident, please provide nationality proof such as a valid travel document and Hong Kong immigration entry record.**
如有關人士是非香港居民，請提供國籍證明，例如有效旅遊文件及香港入境紀錄。
7. **Residential address proof² (and permanent address proof if different) of the Relevant Person (If residential address and/or permanent address of Relevant Person is/are the same of the account holder, the relevant address proof is NOT required to provide.)**
有關人士的住宅地址證明²（及永久地址證明如不同）（如有關人士的住宅地址及／或永久地址與戶口持有人相同，相關的地址證明則無需提供。）

For each of the Account Holder(s)/Authorised Trader, please provide:

每位戶口持有人／授權交易人，請提供：

8. If account holder(s)/the authorised trader(s) is/are a licensed/registered person, or an employee of a licensed/registered institution as defined under the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong), please provide the letter of consent from employer.

如戶口持有人及／或授權交易人為證券及期貨條例（香港法例第 571 章）中所定義的持牌／註冊人士，或持牌／註冊機構之僱員，請提供僱主同意書。

We will also ask each of the Account Holder(s) to provide the following information where appropriate (all documents must be in English or Chinese):

如有需要，我們可能要求每位戶口持有人提供以下資料（所有文件需以英文或中文顯示）：

- **Employment status including occupation, employer's name and industry, and annual income from employment**
職業狀況包括工作職位，僱主名稱及業務，及年工作收入
- **Initial and ongoing sources of wealth and/or income and source of fund**
初始及往後財富及／或收入來源及資金來源
- **Jurisdiction of Residence (that is the place where the applicant is liable to taxation by reason of residence) and Taxpayer Identification Number or its Functional Equivalent (TIN)**
居留司法管轄區（即申請人因居民身份而有責任納稅款的地方）及稅務編號或具有等同功能的識別編號（稅務編號）
- **Business main location and business earning if account holder is the Business Owner/Sole Trader/Key Controller^{*3}**
業務主要地區及業務收益如戶口持有人是業務擁有人／獨資經營者／主要管理人^{*3}

For more details, please refer to the Account Opening Form and Customer Information Statement (Individual/Joint Account), Account Opening Form and Customer Information Statement (Joint Account Holder) and Information Statement for Other Relevant Person(s) in our website below.

詳情請參考於以下網站的開戶表格及客戶資料聲明書（個人／聯名戶口），開戶表格及客戶資料聲明書（聯名戶口持有人）及資料聲明書（其他有關人士）。

<https://www.hsbc.com.hk/broking/help/forms/> (English 英文)

<https://www.hsbc.com.hk/zh-hk/broking/help/forms/> (Chinese 中文)

Please note that the above information is for your reference only. You may be asked to provide supplementary documents and/or information if necessary. We may also need to take a copy of the required document and address proof² if it is deemed appropriate. If you have any questions, please contact our service hotlines on (852) 2521 1661/(852) 3989 8181 during 8.30am to 5.30pm from Mondays to Fridays (except public holidays) or visit us at Level 25, HSBC Main Building, 1 Queen's Road Central, Hong Kong.

請注意，以上資料只是一般的開戶參考。如有需要，我們可能要求您提供額外文件及／或資料。在認為適當之時，我們亦可能要求您提供個人身份證明文件及居住地址證明²的副本。如您有任何查詢，請於星期一至星期五（公眾假期除外）早上八時三十分至下午五時三十分致電我們的服務熱線（852）2521 1661／（852）3989 8181 或親臨香港皇后大道中 1 號香港上海滙豐銀行總行大廈 25 樓。

Please inform us promptly if there are any changes of your information and respond promptly to request for information from us during and after the account opening process.

如在開戶過程中及之後您的資料有任何變更，請盡快通知我們並盡快回應我們就提供客戶資料上的任何要求。

^{*1} Leveraged foreign exchange trading is not available to persons resident in the People's Republic of China.
槓桿式外匯買賣服務不會提供予中華人民共和國居民。

^{*2} Residential Address (and permanent address if different) is the main address at which account holder/relevant person lives ie address at which account holder/relevant person spends the majority of the time. Address proof with a Post Office box or C/O address is not acceptable. The acceptance of address proof may vary from time to time and is subject to our final decision.

住宅地址（及永久地址如不同）指戶口持有人／有關人士居住的主要地址，即戶口持有人／有關人士於該地址度過大部分時間。我們不接受以郵政信箱或轉交地址作為地址證明。可接受的地址證明會不時更改，是否接受地址證明則視乎我們的最終決定。

^{*3} 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。

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

註：中英文本如有任何歧義，概以英文本為準。