

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) Limited¹ 滙豐金融外匯 (亞洲) 有限公司¹

Points to Note for Non Face-to-face Account Opening (Individual/Joint Account – Mailing Approach for Hong Kong Permanent Resident)

非親身開設戶口注意事項 (個人 / 聯名戶口 - 郵遞方式 適用於香港永久居民)

This document provides further details on the non face-to-face account opening process, including some of the documents and information required. 此文件提供更多非親身開設戶口的資料，包括所需文件及資料。

General guidance 一般注意事項

1. Please do not send us originals of your identity documents. All documents submitted to us will not be returned.
請不要遞交任何正本的身份證明文件，所有遞交的文件將不會退回。
2. Please ensure that you date (where applicable) and sign all forms and agreements before returning them to us.
寄回文件及合約前，請確保每份文件填上簽署日期 (如需要) 及已簽署所有表格及合約。
3. Please initial next to any changes you make to any pre-filled information in any form or agreement.
如有刪改任何表格或合約上的資料，請於刪改之位置旁簽署。
4. We cannot accept any changes to the terms of the Customer Agreement or Terms of Business.
本公司不接受任何有關商業條款的更改。
5. We may request additional information and documents during the account opening process.
如有需要，我們可能要求提供更多資料。
6. If you would like to appoint a person to give us trading instructions or instructions to withdraw money and/or securities from your account on your behalf, please contact your Account Executive after your account is open.
如若委任授權交易人或 / 及授權提取款項及 / 或證券代表 (統稱「有關人士」)，可於滙豐金融戶口成功開立後與客戶經紀聯絡。
7. We are only able to accept instructions to withdraw funds to (a) an Account Holder's HSBC bank account and/or (b) the bank account of a cheque provided as item 6 under Mandatory Account Documentation in the Documentation List. We call this your "Designated Bank Account". If you would like to change your Designated Bank Account, please contact your Account Executive after your account is open.
付款指示的往來銀行及指定銀行戶口只接受香港上海滙豐銀行戶口或文件清單第6項要求提供的支票銀行戶口。如若更改往來銀行及指定銀行戶口，可於滙豐金融戶口成功開立後與客戶經紀聯絡。
8. If you have any questions about the information and documents required or how to complete certain forms, please contact your Account Executive.
如你有任何查詢，請與客戶經紀聯絡。

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。

Document-specific guidance 文件特別注意事項

1. HKD1 million liquid asset proof (item 2 under Mandatory Account Documentation in the Documentation Checklist)
港幣一百萬元或以上流動資產證明 (文件清單中第2項)

If you are providing bank statements or statements from other brokers to prove your liquid assets, these must be issued within the last 3 months.

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) (如戶口持有人是滙豐卓越理財或尚玉的客戶, 流動資產證明則無需提供)

2. Copy of Hong Kong permanent identity card of each Account Holder (item 4 under Mandatory Account Documentation in the Documentation Checklist) 每位戶口持有人的香港永久性居民身份證(副本) (文件清單中第4項)

Please provide a copy of both sides of the Hong Kong permanent identity card.

請提供香港永久性居民身份證的正面及背面影印本。

3. Personal cheque for HKD 10,000 (item 5 under Mandatory Account Documentation in the Documentation Checklist)
港幣一萬元的個人支票 (文件清單中第5項)

The cheque must satisfy the following requirements:

劃線支票須符合以下條件:

- a) It must bear the name(s) of the Account Holder(s) as shown on the identity card(s) provided to us;
支票必須載有戶口持有人在身份證明文件上所顯示的姓名
- b) It must be crossed and drawn on a personal account with a licensed bank in Hong Kong;
必須是香港持牌銀行所發出的戶口持有人支票
- c) The signature(s) on the cheque must match the signature on all the account opening documents; and
支票上的簽名必須與客戶合約和所有開戶文件的簽名相符; 及
- d) It must be payable to "HSBC BROKING SECURITIES (ASIA) LIMITED"
支票抬頭須註明「滙豐金融證券 (亞洲) 有限公司」

For joint Account Holders that do not have a joint bank account, we will need a cheque from each Account Holder. (只適用於聯名戶口) 如支票不是聯名銀行戶口, 請每位戶口持有人各提供一張符合以上條件的支票。

4. Written consent from employer (item 6 under Mandatory Documentation in the Documentation Checklist)
僱主同意書 (文件清單中第 6 項)

If any Account Holder is 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, that Account Holder must provide written consent from their employer.²

如戶口持有人現時為持牌人士 / 負責人員; 或受聘於任何註冊機構並出任為相關 / 行政人員; 或受聘於任何持牌 / 註冊機構之僱員; 或受聘於 HSBC Global Services (Hong Kong) Limited 之僱員 (受規管人士), 必須提供僱主所發出的同意書。

² 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).

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)。

5. SFC Investor Characterisation – In-house Training Record (item 10 under supplementary documents for additional services)

衍生工具產品知識的證明文件- 衍生工具產品的培訓或課程 (只適用於接受衍生產品的培訓的戶口持有人) (文件清單中第 10 項)

Each Account Holders who has been provided video training on derivatives is required to sign the In-house training record if he/she wishes to trade derivatives. The in-house training on derivative is available by visiting <https://www.hsbc.com.hk/broking/investments/derivatives> and then watching the video clip of "Knowledge of derivatives products".

如若執行衍生工具產品交易，每位客戶可接受衍生產品的培訓並簽署確認培訓紀錄。衍生產品的培訓可透過滙豐金融網站 (<https://www.hsbc.com.hk/zh-hk/broking/investments/derivatives/>) 的衍生產品知識影片中完成。

*** Account Holder can also provide other supporting evidence on knowledge of derivatives. Please refer to item 11 of under supplementary documents for additional services.*

客戶亦可以提供其他衍生工具產品知識的證明文件。詳情請參閱文件清單中第 11 項。

6. Documentation Return Letter 回覆同意書

The Documentation Return Letter serves as Residential and Permanent address proof of the Account Holder and the Joint A/C Holder(s) who share the same residential and permanent address. Please sign and return.

回覆同意書可作為戶口持有人及與其擁有相同住宅及永久地址之聯名戶口持有人的住宅及永久地址證明，客戶需簽署並寄回滙豐金融。

7. Acknowledgement Receipt for Account Opening Application for Joint Accounts 聯名戶口申請確認回條

An "Acknowledgement Receipt for Account Opening Application for Joint Accounts" will be sent to Joint A/C Holder(s) with different residential and permanent address. Please sign and return for verification of residential and permanent address.

如聯名戶口持有人擁有不同的住宅及永久地址，該戶口持有人將會收到一份聯名戶口申請確認回條。請簽署並將該確認回條寄回滙豐金融以作為該戶口持有人之住宅及永久地址證明。

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。