



CONSENT FORM / DECLARATION FORM 同意書 / 聲明書

- Note 注意：** 1. # "Portfolio" means a portfolio comprising any of the following:
「投資組合」是指包括以下任何投資的投資組合：
(a) securities; 證券;
(b) certificates of deposits; 存款證;
(c) money. 款項。
2. Please tick where applicable. 請在適當的地方加上剔號。

Date 日期	day 日 / month 月 / year 年

Applicant/Customer Name 申請人 / 客戶名稱	
Identification Document Details 身分證明文件資料	
Type 種類：	<input type="checkbox"/> (I) Hong Kong Identity Card 香港身分證 <input type="checkbox"/> (P) Passport 護照 <input type="checkbox"/> (C) Certificate of Incorporation 公司註冊證書 <input type="checkbox"/> (B) Business Registration Certificate 商業登記證 <input type="checkbox"/> (X) Others 其他：
Number 號碼：	


I. Consent Form (Applicable for Investment Related Products/Services) 同意書 (適用於投資相關產品 / 服務)

<input type="checkbox"/> I am interested in Investment Services/Products and Forex Linked Deposits, and would be happy to receive relevant materials and have your staff contact me to provide me with such information in the future. 本人對投資服務 / 產品及外匯掛鈎存款感興趣，並樂意於日後收到有關的資料，而貴行職員亦可聯絡本人，以提供此等資料。
<input type="checkbox"/> I provide my consent for the Bank to make reference to my deposit account information maintained with the Bank during the sales process in order to provide me with information on relevant investment product/service and/or investment-linked insurance. 本人同意貴行於銷售過程中參考本人於貴行的存款戶口資料，以便貴行為本人提供相關投資產品 / 服務及 / 或投資相連保險的資料。

II. Declaration Form (Applicable for Declaration on Professional Investor Status Only) 聲明書 (只適用於專業投資者聲明)

<p>(Applicable to Sole Account Only 只適用於獨立戶口)</p> <p><input type="checkbox"/> I provide herewith my latest available account statement(s) relating to my sole account(s) (which must be dated within 3 months prior to the current date) from other financial institutions or 本人提供於其他金融機構的獨立戶口的最新戶口結單 (結單日期必須在今日前三個月內) 或</p> <p><input type="checkbox"/> I provide herewith a reference letter relating to my sole account(s) from other financial institutions dated within 3 months prior to the current date. 本人提供於其他金融機構發出的有關本人獨立戶口的證明 (有關文件日期必須在今日前三個月內)。</p> <p>(Applicable to Joint Account Only 只適用於聯名戶口)</p> <p><input type="checkbox"/> I confirm that there is no written agreement governing the sharing of the Portfolio between joint account holders in relation to my joint account(s), either held with the Bank or with other financial institutions. I therefore understand and agree that the Bank deems that each joint account holder holds an equal share of the Portfolio in my joint account(s). 本人確認沒有書面協議指定聯名戶口持有人就本人聯名戶口擁有投資組合的份額。因此，本人明白及同意貴行把本人聯名戶口的每位戶口持有人視作擁有相等的投資組合份額。</p> <p><input type="checkbox"/> I provide herewith my latest available account statement(s) relating to my joint account(s) (which must be dated within 3 months prior to the current date) from other financial institutions, or 本人提供於其他金融機構的聯名戶口的最新戶口結單 (結單日期必須在今日前三個月內) 或</p> <p><input type="checkbox"/> I provide herewith a reference letter relating to my joint account(s) from other financial institutions dated within 3 months prior to the current date. 本人提供於其他金融機構發出的有關本人聯名戶口的證明 (有關文件日期必須在今日前三個月內)。</p> <p>I understand and agree that (i) any information I provide under this section remains valid unless I notify the Bank in writing to the contrary, and (ii) that any declaration or assumption with regards to the sharing of the Portfolio between joint account holders is deemed to be solely for the purposes of assessing my Professional Investor status and does not create any legal right over the Portfolio(s) or impose obligations on the Bank. 本人明白及同意 (i) 任何本人在此部分提供的資料均屬實，除非本人以書面另行通知貴行和 (ii) 任何有關聯名戶口中各持有人的投資組合份額的聲明或假設，僅用作評估本人是否符合專業投資者的資格，並不因此而產生任何有關投資組合的法律權益或對貴行施加義務。</p> <p>Together with the assets held at HSBC, I have a total #portfolio of not less than HKD8 million or its equivalent in any foreign currencies held in my account(s). 連同存放於滙豐的資產，本人的戶口擁有總額不少於港幣八百萬或任何等值的外幣的#投資組合。</p> <p>I understand and agree that, based on the information in its possession from time to time, the Bank may consider me as a Professional Investor (as defined in section 1 of Part I of Schedule 1 of the Securities and Futures Ordinance and the Hong Kong Securities and Futures (Professional Investor) Rules) for the purpose of marketing Product to me. 本人明白及同意貴行可以基於其不時擁有的資料，根據《證券及期貨條例》第1條第1部附表1和《證券及期貨(專業投資者)規則》定義本人為專業投資者以用作向本人推廣產品。</p>
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- Note 注意 :** 1. * Please specify any one account number to which the signature can apply.
 * 請註明任何一個用以下簽署的戶口號碼。
 2. 守 For business customer, the authorised signatory is signing for and on behalf of the company.
 守 倘若係公司客戶, 授權簽署人是代表該公司簽署。

*Account Number 戶口號碼	守Signature 簽署
	X
	

You may, at any time, choose not to receive marketing communication about our services. Please let us know by calling 2233 3322 for HSBC Premier Customers, 2748 8333 for HSBC Advance Customers, 2233 3000 for Other Personal Banking Customers or 2748 8288 for Commercial Customers, and we will delete your name from our contact lists without charges.

如您不想收取有關本行服務的宣傳通訊, 如屬滙豐卓越理財客戶, 請致電 2233 3322; 滙豐運籌理財客戶, 請致電 2748 8333; 其他個人理財客戶, 請致電 2233 3000; 工商金融客戶, 請致電 2748 8288, 本行即會從通訊名單中刪除您的姓名。此項安排不另收費。

For Bank Use Only 銀行專用															
Applicable for Declaration on Professional Investor Status		For CMB only													
Portfolio Amount held in <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;"></td> <td style="width: 40%; text-align: center;">Sole Account</td> <td style="width: 40%; text-align: center;">Joint Account <i>(applicant's share only)</i></td> </tr> <tr> <td>HSBC portfolio balance as of today</td> <td style="border: 1px solid black; width: 100px;"></td> <td style="border: 1px solid black; width: 100px;"></td> </tr> <tr> <td>Non HSBC portfolio balance <i>(as indicated in other financial institutions' statement/reference letter)</i></td> <td style="border: 1px solid black;"></td> <td style="border: 1px solid black;"></td> </tr> <tr> <td>Total portfolio amount</td> <td colspan="2" style="border: 1px solid black;"></td> </tr> </table>			Sole Account	Joint Account <i>(applicant's share only)</i>	HSBC portfolio balance as of today			Non HSBC portfolio balance <i>(as indicated in other financial institutions' statement/reference letter)</i>			Total portfolio amount			Endorsement from Supervisor with GCB4 or above must be obtained. Signature: _____ Name: _____ Title: _____	
	Sole Account	Joint Account <i>(applicant's share only)</i>													
HSBC portfolio balance as of today															
Non HSBC portfolio balance <i>(as indicated in other financial institutions' statement/reference letter)</i>															
Total portfolio amount															
Statement/Reference Letter issued by financial institutions in OECD countries or China/Taiwan/Macau/Singapore/Malaysia/India, AND not in the FCCRM red country list <input type="checkbox"/> Yes <input type="checkbox"/> No		Attach the statement/reference letter from other financial institution AND screen print of current holding at HSBC <input type="checkbox"/> Yes <input type="checkbox"/> No													
		Branch/Department Chop and Authorised Signature													