

To 致: **The Hongkong and Shanghai Banking Corporation Limited**  
**香港上海滙豐銀行有限公司**

Date 日期	day 日 / month 月 / year 年

Branch 分行

## INVESTMENT SERVICES APPLICATION FORM

(For Integrated/PowerVantage Account Only)

投資服務申請表 (只適用於綜合/運籌理財戶口)

**Note 注意:** 1. 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。  
2. All parties to sign for Joint Accounts. 如為聯名戶口, 各人均須簽署。

### Customer Details 客戶資料

Customer Name 客戶姓名	
Surname 姓	First Name 名
1.	
2.	
Integrated/PowerVantage Account Number 綜合/運籌理財戶口號碼	Contact Telephone Number 聯絡電話號碼

### Instruction for Handling Settlement Amounts, Fees, Commissions, Dividend and Other Securities/Unit Trust-related Transactions Unless Otherwise Specified 處理交收款項、收費、佣金、股息及其他與證券/單位信託基金有關的款項指示

**Note 注意:** If secured credit has been set up in your Integrated/PowerVantage Account, the account with the secured credit should be the same as the selected account as below. Otherwise, the secured credit facility account in Integrated/PowerVantage account is changed to the selected account.  
如抵押信貸已設立於綜合/運籌理財戶口, 設有抵押信貸的戶口必須與以下的戶口相同。否則, 其綜合/運籌理財戶口內的相關的抵押信貸戶口同時更改為下列指定的戶口。

Credit to / Debit from 款項存入/扣自

- |   |   |
|---|---|
| <input type="radio"/> Integrated Account-Savings/PowerVantage Savings<br>綜合理財戶口-儲蓄/運籌儲蓄 | <input type="radio"/> Integrated Account-Current/PowerVantage Current<br>綜合理財戶口-往來/運籌往來 |
| <input type="radio"/> With secured credit 已經設有抵押信貸                                      | <input type="radio"/> With secured credit 已經設有抵押信貸                                      |
| <input type="radio"/> Without secured credit 尚未設有抵押信貸                                   | <input type="radio"/> Without secured credit 尚未設有抵押信貸                                   |

### Questionnaire 問卷

#### 1. Investment Experience 投資經驗

Types of product(s) you have previously invested (Please choose one or more) 您曾經投資過的產品 (請選擇下列一項或多項)

- |  |                                    |   |  |   |                                  |
|--|------------------------------------|---|--|---|----------------------------------|
| <input type="radio"/> Bonds/CD<br>債券/存款證 | <input type="radio"/> Stocks<br>股票 | <input type="radio"/> Unit Trusts<br>單位信託基金 | <input type="radio"/> Futures & Options<br>期貨及期權 | <input type="radio"/> Derivatives<br>衍生工具 | <input type="radio"/> None<br>沒有 |
|--|------------------------------------|---|--|---|----------------------------------|

Years of Investment Experience 投資年期

- |  |   |  |  |
|--|---|--|--|
| <input type="radio"/> Less than 1 year<br>少於一年 | <input type="radio"/> 1 - 4 years<br>一至四年 | <input type="radio"/> 5 - 10 years<br>五至十年 | <input type="radio"/> More than 10 years<br>十年以上 |
|--|---|--|--|

#### 2. Investment Objectives 投資目標

- |   |  |  |
|---|--|--|
| <input type="radio"/> Speculation<br>投機 | <input type="radio"/> Capital Appreciation<br>資本增值 | <input type="radio"/> Regular Income<br>定期收入 |
|---|--|--|

#### 3. Financial Situation 財務狀況

Estimated Networth (i.e. Total Asset less Total Liabilities) 估計資產淨值 (總資產減總負債)

- |  |  |
|--|--|
| <input type="radio"/> Less than or equal to HKD500,000<br>少於或等於港幣 500,000        | <input type="radio"/> HKD500,001 to HKD1,000,000<br>港幣 500,001 至港幣 1,000,000 |
| <input type="radio"/> HKD1,000,001 to HKD5,000,000<br>港幣 1,000,001 至港幣 5,000,000 | <input type="radio"/> HKD5,000,001 or above<br>港幣 5,000,001 或以上              |

IPS023R10-m (05/01/04) 1

**Principal/Sole Account Holder** 第一／獨立戶口持有人

Employment Status 職業狀況

- ☐ (S) <sup>+</sup> Self-Employed <sub>+ 自僱</sub>
☐ (F) <sup>+</sup> Full-time Employed <sub>+ 全職</sub>
☐ (P) <sup>+</sup> Part-time Employed <sub>+ 兼職</sub>
☐ (X) Not Currently Employed <sub>非在職</sub>
- ☐ (T) Student 學生
 ☐ (H) Housewife 主婦
 ☐ (R) Retired 退休

<sup>+</sup> For self-employed, full-time employed or part-time employed Customers, please also complete the employment information below:  
<sup>+</sup> 自僱、全職或兼職的客戶，亦須填寫下列的職業資料：

Job Nature 工作性質		<b>For Bank Use Only</b> 銀行專用 _____	Monthly Salary (HKD) 月薪 (港幣)	
Job Title 工作職位			<input type="radio"/> (0) below 5,000 以下 <input type="radio"/> (5) 30,000 - 49,999 <input type="radio"/> (1) 5,000 - 9,999 <input type="radio"/> (6) 50,000 - 69,999 <input type="radio"/> (2) 10,000 - 14,999 <input type="radio"/> (7) 70,000 - 99,999 <input type="radio"/> (3) 15,000 - 19,999 <input type="radio"/> (8) 100,000 - 199,999 <input type="radio"/> (4) 20,000 - 29,999 <input type="radio"/> (9) 200,000 or above 或以上	
Employment Start Date 任職日期 (Month/Year 月/年)				
Name of Employer/Business 僱主／公司名稱				
Employer/Business Industry 僱主／公司業務				
<input type="radio"/> Manufacturing 製造 <input type="radio"/> Import/Export 出入口 <input type="radio"/> Wholesale 批發 <input type="radio"/> Finance/Insurance 金融／保險 <input type="radio"/> Construction 建築 <input type="radio"/> Communications 通訊 <input type="radio"/> Retail 零售 <input type="radio"/> Business Services 商用服務 <input type="radio"/> Transport 運輸 <input type="radio"/> Real Estate 地產 <input type="radio"/> Restaurants 飲食 <input type="radio"/> Public Services 公共服務 <input type="radio"/> Hotel/Boarding Houses 酒店／旅館 <input type="radio"/> Personal and Household Services 個人／家居服務 <input type="radio"/> Others 其他 _____				

**Joint Account Holder** 聯名戶口持有人 (if any 如有)

Employment Status 職業狀況

- ☐ (S) <sup>+</sup> Self-Employed <sub>+ 自僱</sub>
☐ (F) <sup>+</sup> Full-time Employed <sub>+ 全職</sub>
☐ (P) <sup>+</sup> Part-time Employed <sub>+ 兼職</sub>
☐ (X) Not Currently Employed <sub>非在職</sub>
- ☐ (T) Student 學生
 ☐ (H) Housewife 主婦
 ☐ (R) Retired 退休

<sup>+</sup> For self-employed, full-time employed or part-time employed Customers, please also complete the employment information below:  
<sup>+</sup> 自僱、全職或兼職的客戶，亦須填寫下列的職業資料：

Job Nature 工作性質		<b>For Bank Use Only</b> 銀行專用 _____	Monthly Salary (HKD) 月薪 (港幣)	
Job Title 工作職位			<input type="radio"/> (0) below 5,000 以下 <input type="radio"/> (5) 30,000 - 49,999 <input type="radio"/> (1) 5,000 - 9,999 <input type="radio"/> (6) 50,000 - 69,999 <input type="radio"/> (2) 10,000 - 14,999 <input type="radio"/> (7) 70,000 - 99,999 <input type="radio"/> (3) 15,000 - 19,999 <input type="radio"/> (8) 100,000 - 199,999 <input type="radio"/> (4) 20,000 - 29,999 <input type="radio"/> (9) 200,000 or above 或以上	
Employment Start Date 任職日期 (Month/Year 月/年)				
Name of Employer/Business 僱主／公司名稱				
Employer/Business Industry 僱主／公司業務				
<input type="radio"/> Manufacturing 製造 <input type="radio"/> Import/Export 出入口 <input type="radio"/> Wholesale 批發 <input type="radio"/> Finance/Insurance 金融／保險 <input type="radio"/> Construction 建築 <input type="radio"/> Communications 通訊 <input type="radio"/> Retail 零售 <input type="radio"/> Business Services 商用服務 <input type="radio"/> Transport 運輸 <input type="radio"/> Real Estate 地產 <input type="radio"/> Restaurants 飲食 <input type="radio"/> Public Services 公共服務 <input type="radio"/> Hotel/Boarding Houses 酒店／旅館 <input type="radio"/> Personal and Household Services 個人／家居服務 <input type="radio"/> Others 其他 _____				

1. I/We confirm that I/we am/are acting as principal(s) in relation to the Investment Services Account.  
本人（等）確認本人（等）是以主事人身分在投資服務戶口進行交易。
2. I/We hereby confirm that the Risk Disclosure Statements have been provided in the language of my/our choice (English or Chinese); and I/we have been invited to read the Risk Disclosure Statements, to ask questions and to take independent advice if I/we wish.  
本人（等）確認已按照本人（等）選擇的語言（英文或中文）獲提供風險披露聲明；及已獲邀閱讀該風險聲明、提出問題及徵求獨立的意見〔如本人（等）有此意願〕。
3. I/We hereby confirm that I/we am/are not a resident of the United States of America ('US') or Canada ('CN'), whether for the US or CN securities or tax laws or for any other purposes. I/We also confirm that I/we am/are not acting as agent on behalf of any US and/or CN resident. I/We undertake to immediately notify you should I/we (in case of joint account holders, any one of us) become or be deemed to be resident of the US or CN at any future time.  
本人（等）確認、無論從美國或加拿大的證券或稅務法例或其他方面而言，本人（等）均並非美國或加拿大的居民。本人（等）亦確認、本人（等）並不代表任何美國或加拿大居民行事。本人（等）承諾，如本人（等）（如為聯名戶口，則其中任何一位戶口持有人）日後成為或視作美國或加拿大居民，將立即通知貴行。
4. I/We declare that I/we am/are not currently employed by any licensed or registered person to carry on regulated activities as defined in the Securities and Futures Ordinance ("Ordinance"). Otherwise, I/we understand that I/we am/are required to provide to the Bank written consent(s) from my/our employer(s) before I/we can open and operate this Investment Services Account. I/We undertake to promptly notify the Bank if I/we become or cease to be employed by any licensed or registered person to carry out regulated activities.  
本人（等）確認本人（等）現時並非受僱於任何持牌法團或註冊機構從事證券及期貨條例（「條例」）界定的受規管活動；否則本人（等）明白本人（等）須向貴行提供本人（等）僱主所發出的同意書方可於貴行開立及使用這投資服務戶口。本人（等）並承諾如將受僱或不再受僱於任何持牌法團或註冊機構從事受規管活動時，立即通知貴行。  
**Note 注意：** A licensed person means a licensed corporation licensed under the Ordinance. A registered person means a registered institution registered under the Ordinance. 持牌法團指根據該條例獲批給牌照的持牌法團。註冊機構指根據該條例註冊的認可財務機構。
5. I/We have read and understand the HSBC Premier with Integrated Account General Terms and Conditions/PowerVantage Account General Terms and Conditions, and agree to be governed by them.  
本人（等）經已閱讀及明白卓越理財（綜合理財戶口）一般條款／運籌理財戶口一般條款，並同意接受該等條款的約束。

**X**

Signature of Principal/Sole Account Holder 第一／獨立戶口持有人簽署

Identification Document Details 身分證明文件資料

Type 種類

Number 號碼

S.V.

**X**

Signature of Joint Account Holder 聯名戶口持有人簽署

Identification Document Details 身分證明文件資料

Type 種類

Number 號碼

S.V.

**For Bank Use Only 銀行專用**

**Staff Declaration**

**I hereby declare that**

1. the Risk Disclosure Statements in the language of the customer's choice (English or Chinese) have been provided to the customer(s); and the customer(s) has/have been invited to read the Risk Disclosure Statements, ask question and to take independent advice if the customer(s) so wishes/wish.
2. I have already explained to the customer(s) that if he/she is or they are currently employed by any registered or licensed person to carry on regulated activities, the customer(s) is/are required to provide to the Bank a written consent(s) from his/her/their employer(s) in support of this investment services application.

Signature 簽名

HKMA Registration Number :

Name of Staff (in **Block Letters**):

Written Consent Received ☐ Yes

[For joint account, specify customer name(s)]

Investment Services Account Suffix

**380**

Change IPS Account with Secured Credit

☐ Yes ☐ No

Checked by

Branch Chop and Authorised Signature

CDS Checked

Reporting Currency