To: **The Hongkong and Shanghai Banking Corporation Limited**

| Date | day / month / year |
|---|---|
| | |

**INTEGRATED ACCOUNT OPENING/CONVERSION FORM**
**- INVESTMENT SERVICES**

| Account Number |
|---|
| |

**Note:** 1. Please complete in **Block Letters** and tick where applicable.
2. For the avoidance of doubt, this form shall at all times form part of the attached Integrated Account Opening Form or Integrated Account Conversion Form (From Hong Kong Dollar Current Account or Hong Kong Dollar Current Account with Hong Kong Dollar / Foreign Currency Time Deposits Account / Wayfoong Statement Gold Account to Integrated Account).
3. Fields printed in thick borders must be completed.

## Settlement Account *(A201/S111/S121/S122)*

Settlement amount, fees, commissions, dividend and other Securities/Unit Trust-related transactions to be credited to/debited from

☐ Integrated Current ☐ Integrated Savings

**Note:** 1. If secured credit has been set up in Integrated Account, the account with the secured credit should be the same as the settlement account.
- For investment in foreign currency, if you choose to redeem via Internet Banking or automated phonebanking and choose to receive your redemption proceeds in your default settlement account which is also the credit facility account, the proceeds will be received in Hong Kong Dollars by default. Please contact our branch or investment hotline if you wish to have other arrangement.
- If you choose to receive your proceeds in foreign currency accounts instead of the credit facility account and you have utilised the secured credit facility, please note that you may not be able to reduce the interest expenses for your secured credit facility.

2. The settlement account of an Investment Services Account(s) with suffix number(s) 391-394 should be the same settlement account as that of an Investment Services Account with suffix number 380.

## Questionnaire

1. Investment Experience

Types of product(s) you have previously invested (Please choose one or more)

☐ Bonds/CD ☐ Stocks ☐ Unit Trusts ☐ Futures & Options ☐ Derivatives ☐ None

Years of Investment Experience

☐ Less than 1 year ☐ 1 - 4 years ☐ 5 - 10 years ☐ More than 10 years

2. Investment Objectives

☐ Speculation ☐ Capital Appreciation ☐ Regular Income

3. Financial Situation

☐ Less than or equal to HKD500,000 ☐ HKD500,001 to HKD1,000,000
☐ HKD1,000,001 to HKD5,000,000 ☐ HKD5,000,001 or above

**Note:** In order to open an Investment Services Account and to comply with regulatory requirements, please complete the above questionnaire.

## Important Notes on Contact Information

1. Please maintain a valid mobile phone number record with the Bank in order to receive mandatory notification of trade execution via SMS, or you will not be able to trade online or via mobile apps.
2. Please note that online trading services will not be fully available to you until the next day after your investment account is activated. Alternatively, you may consider using other HSBC channels to place your trading order on the first day of account activation (if needed). For the avoidance of doubts, for any trading order placed via other channels, you are able to cancel it online or via mobile apps on the first day of account activation but you will not receive SMS notification for the cancellation orders.
3. We recommend you to provide a valid personal email address to ensure that you can timely receive email notifications e.g. log-on notification emails, eAdvice from the Bank.
4. Please provide your personal mobile number / email address that is exclusively for your own use to ensure that your confidential account or transaction related information is delivered to the mobile number / email address that is accessible by you only.
5. Should you need to update your contact information, please log on to Personal Internet Banking and select "Personal details" under "My Profile" at the bottom of the page, then update your mobile phone number record and/or email address with your Mobile Security Key or Security Device. Alternatively, you can visit our branch in HK to update your contact information.

## Free *e*Alerts Service - ✠IPO Update *e*Alerts *(J051/J052)*

| | | |
|---|---|---|
| **Principal/Sole Account Holder** | I would like to apply for free: | ☐ ✠IPO Update *e*Alerts |
| | *e*Alert Greeting Name *(e.g. Nickname)* | |
| | *e*Alerts Channels | ✠IPO Update *e*Alerts: ☐ Email ☐ SMS |
| | *e*Alerts Language | SMS: ☐ English ☐ Chinese Email: ☐ English ☐ Chinese |
| | I would like to receive free promotional *e*Alerts: | ☐ Yes ☐ No |
| **Joint Account Holder** | I would like to apply for free: | ☐ ✠IPO Update *e*Alerts |
| | *e*Alert Greeting Name *(e.g. Nickname)* | |
| | *e*Alerts Channels | ✠IPO Update *e*Alerts: ☐ Email ☐ SMS |
| | *e*Alerts Language | SMS: ☐ English ☐ Chinese Email: ☐ English ☐ Chinese |
| | I would like to receive free promotional *e*Alerts: | ☐ Yes ☐ No |

**Note:** 1. Mobile Phone Number must be provided in Section I of "Integrated Account Opening Form" and Hong Kong based beginning with '9', '8', '7', '6', '5' or '4' for *e*Alerts by SMS.
2. Email Address must be provided in Section I of "Integrated Account Opening Form" for *e*Alerts by Email.
3. ✠ Customers who are identified as US Persons and have maintained any US residential / correspondence / work address in our records will not be able to subscribe for or receive *e*Alert for IPO Update.

**Deposit Protection Scheme**

Please note that Certificates of Deposit are not protected deposits and are not protected by the Deposit Protection Scheme in Hong Kong. Please acknowledge receipt and your understanding of the foregoing by signing below.

**Declaration**

1. I/We confirm that I/we am/are acting as principal(s) in relation to the Investment Services Account(s).
2. I/We confirm that I/we have been provided the risk disclosure statements and Explanation of Risk for Listed Derivatives (applicable for Investment Services Account with account suffix number 380, 391 and 394) in the language of my/our choice (English or Chinese); and I/we have been invited to read the risk disclosure statements and Explanation of Risk for Listed Derivatives (applicable for Investment Services Account with account suffix number 380, 391 and 394), to ask questions and to take independent advice if I/we wish.
3. I/We hereby confirm that I/we am/are NOT (1) resident(s), citizen(s) or tax payer(s) of the United States of America ("US") [and none of my/our address(es) on your record is in the US] or (2) residents of Canada ("CA") or (3) national(s) of South Korea who is/are also resident(s) of South Korea ("KR"), whether for US, CA or KR 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 resident and/or US citizen and/or US tax payer and/or CA resident and/or any KR resident who is also KR national. 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 (1) resident(s), citizen(s) or tax payer(s) of the US or (2) resident(s) of CA or (3) national(s) and resident(s) of KR or (4) if any of my/our address(es) on your record is or should be changed to US at any future time.
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 on regulated activities.
   **Note:** A licensed person means a licensed corporation licensed under the Ordinance. A registered person means a registered institution registered under the Ordinance.
5. I/We understand that the remuneration for sales staff is determined based on the staff's overall performance with reference to a wide range of factors, and is subject to review from time to time, for the purpose of encouraging the building of deep, long-lasting and mutually valuable relationships with customers. It is not determined solely on financial performance.
6. I/We acknowledge that I/we have received and understand that Certificates of Deposit are not protected deposits and are not protected by the Deposit Protection Scheme in Hong Kong.
7. I/We hereby declare that I/we have read and understood the Terms and Conditions for HSBC's *e*Alerts Service and agree to be bound by them.
8. *(Applicable to application for Investment Services Account(s) with suffix number(s) 391 and 394 only)*
   I/We hereby confirm that the factsheet governing the portfolio building services has been provided to me/us and I/we have been invited to read the factsheet including the risk disclosure statements contained therein and to ask questions.
9. *(Applicable to application for FundMax account, i.e. Investment Services Account with suffix number 393)*
   I/We have read and understood the FundMax Account Terms and Conditions, and agree to be governed by them. I/We hereby confirm that the factsheet governing the portfolio building service has been provided to me/us. I/We acknowledge that the portfolio building service is provided to me/us as an optional service and that I/we have to read and understand that factsheet including the risk disclosure statements contained therein before signing up for the portfolio building service.
10. *(Applicable to application for U.S. Securities Trading Services)*
    The Customer represents, warrants, confirms and undertakes as follows:
    a. where the Customer trades any Products traded in the U.S., that the Customer is not a "U.S. Person" as stipulated in part A (1.1) of Investment Services Account Terms and Conditions, and that in the event that the Customer becomes such a person, the Customer will notify the Bank immediately and will transfer all of his holdings in Products traded in the United States within a month of the occurrence of the event or any other period as determined by the Bank, and the Customer acknowledges that in that case all the income, proceeds, interest and distribution arising from such Products shall be subject to the maximum withholding tax rate or any other withholding tax rate as determined by the Bank from time to time;
    b. that the Customer is not a director or officer, or shareholder who holds 10% or more of the interests in the shares of, a company listed on any stock exchange in the United States;
    c. that the Customer is not:
       (i) registered or qualified with the Securities and Exchange Commission of the United States, the Commodities Futures Trading Commission of the United States, any state securities agency, any securities exchange or association, or any commodities or futures contract market or association;
       (ii) engaged as an "investment advisor" as that term is defined in Section 202(11)(a) of the Investment Advisor's Act of 1940 (whether or not registered or qualified under that Act); or
       (iii) employed by a bank or other organisation exempt from registration under Federal and/or state securities laws to perform functions that would require him to be so registered or qualified if he were to perform such functions for an organisation not so exempt, and
       in the event that the Customer becomes so registered, qualified, engaged or employed he will notify the Bank immediately. In the event that the Customer is or becomes deemed by any U.S. Market Data Provider to be so registered, qualified, engaged or employed the Customer agrees that the Bank shall have the right to pass on to the Customer any additional market data subscription fees and any other fees and costs incurred as a result of or in connection with the foregoing.

**Account Holder(s) Signature(s)**

**X**
Principal/Sole Account Holder

**X**
Joint Account Holder

## For Bank Use Only - 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 questions 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.

Written Consent Received ☐ Yes

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

Signature

HKMA Registration Number:

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

Regulatory Requirement - Derivative Knowledge/Explanation of Derivative-related Risks

☐ Provided and gone through with customer the explanation of risk on listed derivatives. Explanation of risk (generic) updated in CRMS (applicable to 380, 391 and 394 account suffix only).

☐ Derivative Training updated in CRMS for customer(s) who have gone through training during investment account opening.