

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

## Points to Note for Non Face-to-face Account Opening (Individual/Joint Account – Certification Approach for Mainland China Resident)

### 非親身開設戶口注意事項 (個人／聯名戶口 - 適用於中國內地居民的認證方式)

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

#### General guidance

##### 一般注意事項

1. Please do not send us the 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預先填上的資料，請於刪改之位置旁簽署。
4. We do not accept any changes to the terms of the Customer Agreement or Terms of Business.  
我們不接受任何對客戶合約或商業條款內條款的更改。
5. Please ensure all copies of documents (including the Customer Agreement) are certified by a qualified person approved by the Securities and Futures Commission (“SFC”), such as a lawyer or certified public accountant (“CPA”) regulated by and subject to the supervision of the relevant institute in mainland China. Please also provide a certified copy of the proof of such qualified person’s professional capacity for certification, such as the lawyer’s practicing certificate or the CPA certificate in mainland China (item 8 under Mandatory Account Documentation in the Documentation Checklist).  
請確保所有副本文件（包括客戶合約）必須經由證券及期貨事務監察委員會（「證監會」）認可的有資格人仕認證（例如：在中國內地受相關機構監管並受其監督的律師或執業會計師）。請同時提供該作為認可認證人士之專業資格證明的認證副本（例如：中國內地律師執照或中國執業會計師證書）（文件清單中必須提供的文件第8項）。
6. If needed, we may request additional information and documents during the account opening process.  
如有需要，我們可能會在開戶過程中要求提供更多資料及文件。
7. We are only able to accept instructions to withdraw funds to an Account Holder’s HSBC bank account. We call this your “Designated Bank Account”. If you would like to change your Designated Bank Account, please contact your Relationship Manager after your account with us is opened.  
我們只接受向戶口持有人的香港上海滙豐銀行戶口付款的指示。我們稱之為你的「指定銀行戶口」。如你想更改指定銀行戶口，可於你的滙豐金融戶口成功開立後與客戶經理聯絡。
8. If you have any questions about the information and documents required or how to complete certain forms, please contact your Relationship Manager.  
如你對所需資料和文件或如何填寫某些表格有任何查詢，請與客戶經理聯絡。

#### Document-specific guidance

##### 文件特別注意事項

**IMPORTANT:** Please note that we only include guidance below for some of the documents and information. For complete list of documents required for the non face-to-face account opening, please refer to the Documentation Checklist.

注意：我們僅在下文中就部分所需文件及資料列出注意事項。有關非親身開設戶口所需文件及資料的完整清單，請參見文件清單。

1. Certified copy of liquid asset proof of HKD1 million or above (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的認證副本（文件清單中必須提供的文件第2項）

If you are providing bank and/or brokerage statements from HSBC or other financial institutions to prove your liquid assets, please ensure that these statements are issued within the last 3 months.

如你提供滙豐及/或其他金融機構的銀行及/或經紀行結單，以證明你的流動資產，請確保該等結單在最近三個月內發出。

2. Certified copy of identification document(s) of each Account Holder and/or Relevant Person<sup>1</sup> (item 4 under Mandatory Account Documentation in the Documentation Checklist)  
每位戶口持有人和／或有關人士<sup>1</sup>的身份證明文件的認證副本（文件清單中必須提供的文件第4項）

- a) If the Account Holder and/or Relevant Person is a Hong Kong permanent resident, please provide a certified copy of Hong Kong permanent identity card of such person(s).  
如戶口持有人和／或有關人士是香港永久性居民，請提供該等人士的香港永久性身份證的認證副本。
- b) If the Account Holder and/or Relevant Person is a mainland China resident, please provide a certified copy of the People's Republic of China resident identity card and valid mainland China passport of such person(s).  
如戶口持有人和／或有關人士是中國內地居民，請提供該等人士的中華人民共和國居民身份證及有效中國內地旅遊護照的認證副本。

3. Certified copy of residential address proof (and permanent address proof if different)<sup>2</sup> of each Account Holder and/or Relevant Person (item 5 under Mandatory Account Documentation in the Documentation Checklist)  
每位戶口持有人和／或有關人士的住宅地址證明（及永久地址證明如不同）<sup>2</sup>的認證副本（文件清單中必須提供的文件第5項）

Please provide valid address proof such as utility bills, correspondence from a Government department/agency or mobile phone or pay TV statement issued within the last 3 months.  
請提供最近三個月內發出的有效位址證明，例如公用事業賬單、政府部門或機構信函或手提電話或收費電視結單。

4. HSBC Bank Account Information in the name of the Account Holder(s) (such as a certified copied of the latest HSBC bank statement issued within the last 3 months or HSBC Premier/ Jade Customer ATM card) (item 6 under Mandatory Account Documentation in the Documentation Checklist)  
載有戶口持有人姓名的香港上海滙豐銀行戶口資料（例如：最近三個月內發出的的香港上海滙豐銀行銀行戶口結單或滙豐卓越／尚玉理財客戶銀行提款卡的認證副本）（文件清單中必須提供的文件第6項）

5. Written consent from employer (item 7 under Mandatory Account Documentation in the Documentation Checklist)  
僱主同意書（文件清單中必須提供的文件第7項）

If any Account Holder and/or Relevant Person is a regulated person, including (i) a licensed representative or responsible officer of a licensed corporation; (ii) a relevant individual or executive officer of a registered institution; (iii) an employee of a licensed corporation or registered institution; or (iv) an employee of HSBC Global Services (Hong Kong) Limited, the Account Holder must provide written consent from such person's employer<sup>3</sup>.  
如戶口持有人和／或有關人士現時為受規管人士，包括 (i) 持牌人士／負責人員；或 (ii) 受聘於任何註冊機構並出任為相關／行政人員；或 (iii) 受聘於任何持牌／註冊機構之僱員；或 (iv) 受聘於 HSBC Global Services (Hong Kong) Limited 之僱員，戶口持有人必須提供該人士的僱主所發出的同意書<sup>3</sup>。

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<sup>1</sup> Authorised Trader and/or authorised representative to withdraw money and/or securities (together referred as "Relevant Person")  
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」）

<sup>2</sup> If residential address and/or permanent address of the Relevant Person is/are the same of the Account Holder, the relevant address proof is NOT required.  
如有關人士的住宅地址及／或永久地址與戶口持有人相同，則無需提供相關的地址證明。

<sup>3</sup> Note: In this document, references to "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). References to "relevant individual" and "executive officer" have the meanings set out in the Banking Ordinance (Cap. 155, Laws of Hong Kong).

註：有關於此文件中提及「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）。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）。

6. SFC Investor Characterisation – In-house Training Record (item 9 under supplementary documents for additional services in the Documentation Checklist)  
投資者分類 – 培訓紀錄 (文件清單中其他服務額外文件第 9 項)

Each Account Holder and/or Authorised Trader who wishes to trade in derivatives may attend the video training on derivatives and sign the confirmation on the In-house Training Record. The in-house training on derivatives could be completed through watching the video clip “knowledge of derivatives products” on our website at <https://www.hsbc.com.hk/broking/investments/derivatives>.

每位戶口持有人及／或授權交易人如欲進行衍生工具產品交易，可接受衍生產品的影像培訓並簽署確認培訓紀錄。衍生產品的內部培訓可透過觀看滙豐金融網站 (<https://www.hsbc.com.hk/zh-hk/broking/investments/derivatives/>) 上的「衍生產品知識」影片完成。

**\*\* Account Holder and/or Authorised Trader(s) can also provide other supporting evidence on knowledge of derivatives. Please refer to item 10 of under supplementary documents for additional services in the Documentation Checklist.**

客戶和／或授權交易人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其他服務額外文件第 10 項。

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。