

InvestPro
專智投資服務

To: **Standard Chartered Bank (Hong Kong) Limited (the "Bank")**
32nd Floor 4-4A Des Voeux Road Central Hong Kong
(a registered institution which is registered for Type 1 (dealing in securities), Type 4 (advising on securities), Type 6 (advising on corporate finance) and Type 9 (asset management) regulated activities under the Securities and Futures Ordinance with CE number AJI614)

致：渣打銀行(香港)有限公司(「銀行」)
香港德輔道中4-4號A 32樓
(根據《證券及期貨條例》就第1類(證券交易)、第4類(就證券提供意見)、第6類(就機構融資提供意見)及第9類(提供資產管理)受規管活動獲登記的機構，CE編號為AJI614)

IMPORTANT REMINDER: before signing this agreement/application, please carefully read all of the terms and conditions, in particular those in bold and underlined and in the "Important Clauses" section below.

重要提示：在簽署本協議/本申請前，請仔細閱讀所有條款及細則，特別是本協議/本申請以下「重要條款」部分中以黑體加粗字體和下劃線標示的條款。

Section 1 第一部份: Choice of Account(s) / Service(s) 戶口 / 服務選擇

Please select services 請選擇服務：

☐ Securities Services 股票投資服務

Market 市場

☒ Hong Kong 香港

☐ United States⁴ 美國⁴

☐ Shanghai / Shenzhen⁵ 上海/深圳⁵

Add Designated Settlement A/C(s)¹ No. 新增指定結算賬戶號碼¹

☒ HKD 港幣 _____

☐ USD 美元² _____

☐ RMB 人民幣³ _____

Note 註：

¹ The designated settlement account(s) must be of the same account title and with the same signing authority as the Securities Account in this application. 所指定的結算戶口持有人必須與本申請之股票投資戶口之持有人相同及受相同的簽署權限制。

² Client must designate a USD Statement Account as the Settlement Account for trading U.S. Securities and USD denominated stocks in HK market. 客戶必須指定美元月結單儲蓄戶口為結算戶口，方可買賣美國股票及以美元結算之香港股票。

³ Client must designate a RMB Statement Account as the Settlement Account for trading securities in Shanghai / Shenzhen market and RMB denominated stocks in HK market. 客戶必須指定人民幣月結單儲蓄戶口為結算戶口，方可買賣上海/深圳股票及以人民幣結算之香港股票。

⁴ Clients should complete and submit the W8-BEN form and maintain the W8-BEN form valid for trading U.S. securities. 客戶必須填寫及提交 W8-BEN 表格並維持其有效性方可買賣美國股票。

⁵ Customer must provide consent on Personal Information Collection Statement concerning China Connect Orders in order to use our China Connect Securities Services. 客戶必需同意有關中華通買賣盤的個人資料收集聲明方能使用本行之中華通股票投資服務。

I/We would like to enroll for the ☐ Securities SMS Alert Services 股票短訊提示服務 ☒ Securities Email Alert Services 股票電郵提示服務
本人/吾等欲登記

Language Display 顯示語言 ☐ English 英文 ☐ Chinese 中文

(If Chinese is selected, your handset/computer must be able to support Chinese display. 如選擇中文，閣下之手機/電腦需具備中文顯示功能。)

☐ Securities eDocuments Service 電子股票文件服務

I/We understand and agree to be bound by the relevant Terms and Conditions for Securities Services. 本人/吾等同意及明白受「股票投資服務」之有關條款及細則約束。

I/We understand and agree no paper form of Securities documents under Securities eDocuments Service will be posted to my/our mailing address if Securities eDocuments Service is selected and I/We must provide valid email address to the bank for receiving the notification when the Securities eDocuments are ready.

本人/吾等同意及明白登記電子股票文件後，生成的電子股票文件將不會再發送紙張文件到本人/吾等之郵件地址，本人/吾等必須提供有效的電子郵件地址，以獲得銀行電子股票文件生成通知。

I/We understand and agree that confirmation of executed orders will be sent to the mobile phone number and/or e-mail address of the primary applicant shown in Section 2 of this application form in a short message and/or e-mail format ("Message"), where applicable.

本人/吾等同意及明白關於已執行的交易指示的確認會以短訊及/或電郵的形式(「訊息」)傳送到此申請表第二部份所列明之申請人之手提電話號碼及/或電郵地址。

☐ Investment Fund Services (Settlement Account No. _____ A/C Currency _____)
基金投資服務 (結算戶口號碼 _____ 戶口貨幣 _____)

☐ Debt Securities Services (Settlement Account No. _____ A/C Currency _____)
債券投資服務 (結算戶口號碼 _____ 戶口貨幣 _____)

☐ Equity Linked Investment Services (Settlement Account No. _____ A/C Currency _____)
股票掛鉤投資服務 (結算戶口號碼 _____ 戶口貨幣 _____)

Note 1: The above selected account(s)/service(s) will be included into the Consolidated Statement.

註1：上述所選之戶口/服務將附加於綜合月結單內。

Note 2: For the whole document, where inconsistency exists between the English and Chinese version, the English version shall prevail.

註2：就整份文件而言，如英英文與中文版本有歧異，以英文版本為準。

I/We, being the applicant(s) named below, would like to apply for the Securities Services/Investment Fund Services/Debt Securities Services/Equity Linked Investment Services selected above and confirm that I/we have read, agreed and understood (i) the Authorisations and Acknowledgement set out in Section 3 below, (ii) Disclosure of Transaction Related Information set out in Section 4 below, (iii) for Securities Services, the Disclosure Statement and Declaration set out in Section 5 below.

本人/吾等為名列於下的申請人，欲申請使用上述所選的股票投資服務/基金投資服務/債券投資服務/股票掛鉤投資服務，並確認本人/吾等已閱讀、同意及明白(i)下文第3部份所列的授權及確認，(ii)下文第4部份所列的交易相關資料披露，(iii)只適用於「股票投資服務」之下文第5部份所列的披露聲明及客戶聲明。

DIRECT MARKETING 直接促銷

The Bank would not use your personal data for direct marketing without your consent.
未經閣下同意，本行不會將閣下的個人資料用於直接促銷。

Please check (“✓”) the relevant box(es) below if you do **not** consent the Bank to use your data (including any customer investment profile completed by you before or after this application) for direct marketing as set out in the Bank’s “Notice to customers and other individuals relating to the Personal Data (Privacy) Ordinance (“Ordinance”) and the Code of Practice on Consumer Credit Data”, through any of the following channel(s):- 如閣下**不同意**本行透過以下任何途徑將閣下之資料（包括閣下於本申請之前或及後所填寫的客戶投資取向問卷）用於本行「關於《個人資料（私隱）條例》（「條例」）及《個人信貸資料實務守則》致客戶及其他個別人士的通知」中載列之直接促銷，請於下列相關方格內填上（「✓」）號：

	Email 電郵	Mobile Message 手機訊息	Post 郵寄	Phone Call (except calls from Relationship Managers or Premium Executives)* 電話（客戶經理或Premium理財經理來電除外）*	Phone Call (all calls)* 電話（所有來電）*
Primary Applicant 申請人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Joint Applicant 聯名申請人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

* Please pick one option only in case you would like to opt-out from Phone Call Channel.
如選擇不接收直接促銷電話，請只選擇其中一項。

For any channel not opted-out, your signing or submission of this application gives consent to the Bank to so use your data as noted above.
對於任何未選為不接收的途徑，閣下簽署或提交本申請即表明閣下同意本行以上述方式使用閣下之資料。

Once processed, you authorise the Bank to replace all your previous selections regarding direct marketing. Please note that if you are an existing client of the Bank, the Bank will proceed to update your records regarding the use of your personal data for direct marketing as per your selection on this account opening form following the acceptance / approval of your application by the Bank for a new account and / or banking services. However, if you wish to update your records regarding the use of your personal data for direct marketing with immediate effect, please contact the Bank’s Customer Service Hotline at 2886 8868 to make the necessary arrangements.
一旦得到處理，閣下即授權本行替換閣下先前對直接促銷的一切選擇。如閣下為現有客戶，本行將會按閣下於本申請表格上所選擇的個人資料用於直接促銷安排，於本行接納/批核閣下所需之新開立戶口及/或服務後，予以更新。如果閣下希望本行即時更新閣下所選擇的個人資料用於直接促銷安排，請致電客戶服務熱線 2886 8868，另作所需安排。

Important Clauses 重要條款

Please tick (“✓”) the box below to acknowledge and confirm.

請於下列方格內填上（「✓」）號以知悉及確認

☐ By ticking this box (“✓”), I/we confirm I/we am/are being reminded of and that I/we have agreed to the following:
透過勾選此方框（“✓”），本人/吾等確認本人/吾等已被提示以下內容並對其表示同意：

I/We agree the courts of Hong Kong have exclusive jurisdiction for any proceedings I/we commence. I/We agree the courts of Hong Kong are the most appropriate and convenient courts to settle any disputes relating to any proceedings I/we commence and will not argue to the contrary. I/We agree you may commence proceedings in any jurisdiction (including, but not limited to, the courts of Hong Kong). To the extent allowed by law, I/we agree you may take concurrent proceedings in any number of jurisdictions. I/we agree any proceedings relating to the validity or interpretation of this jurisdiction clause are governed by Hong Kong law.

本人/吾等同意香港法院對本人/吾等提起的任何訴訟享有排他性司法管轄權。本人/吾等同意香港法院是解決與本人/吾等提起的任何訴訟有關的任何爭議的最適合且最方便的法院，並且不會對此提出異議。本人/吾等同意銀行可於任何司法管轄區（包括但不限於香港法院）展開訴訟。在法律允許的情況下，本人/吾等同意銀行可於任何數目的司法管轄區同時展開訴訟。本人/吾等同意任何與本司法管轄權條款的有效性或解釋有關的訴訟均受香港法律管轄。

I/We agree our banking agreement with you is governed by Hong Kong law.

本人/吾等同意本人/吾等與銀行之間的銀行協議受香港法律管轄。

I/We confirm receipt and review of, and agree to, the terms and conditions provided on your website sc.com/hk (including the Client Terms referred to therein) forming our banking agreement. I/We accept the amendments to the Client Terms from time to time, in particular the jurisdiction clause.

本人/吾等確認已收到、審閱及同意銀行網站sc.com/hk上提供的條款及細則（包括其中提及的客戶條款），這些條款及細則構成本人/吾等與銀行之間的銀行協議。本人/吾等接受銀行對客戶條款不時的修訂，特別是接受銀行對司法管轄權條款的修訂。

If I/we have any questions on any of the terms and conditions, I/we may approach branch or relationship manager for assistance.

若本人/吾等對任何條款及細則有任何疑問，本人/會向分行或客戶經理尋求協助。

By signing this application, I acknowledge receipt of the full set of terms and conditions, key facts statement (where applicable) and the Notice to Customers and other individuals relating to the Personal Data (Privacy) Ordinance (“Ordinance”) and the Code of Practice on Consumer Credit Data (“Notice”).

閣下簽署本申請表，即閣下確認已收妥本行全部相關條款及細則，產品資料概要（如適用）和關於《個人資料（私隱）條例》（「條例」）及《個人信貸資料實務守則》致客戶及其他個別人士的通知（「通知」）。

Primary Account Holder’s Signature

戶口持有人簽署

Joint Account Holder’s Signature

聯名戶口持有人簽署

Date

日期

Signing Instructions 戶口簽署指示：

(Please use the same signature that the Bank has on record 請使用銀行記錄的同一簽署式樣)

For Bank Use Only 銀行專用

To be completed by frontline staff

Received instruction: ☐ Over Counter (Branch Code: _____) ☐ By Phone (Date, Time & Phone Number Used _____) ☐ By Mail

Peoplewise ID: _____ Sales Name: _____ Sales Code: _____ EASI ID: _____

SXA Account No. (for SXA only): _____ RTO Code (for PD only): _____ Service Channel (for PD only): _____

ISA Account No.: _____ Branch Code: _____ Closing ID: _____ Referral ID: _____ Processed by: _____

Verify: ☐ Customer ID & Signature ☐ TIN by: (_____) (Signing No. _____)

Section 2 第二部份: Personal Details 個人資料

Joint Applicant 聯名申請人

Surname 姓氏 First and Middle Name 名字

Surname 姓氏 Name 名字

Sex 性別 ☐ Male 男 ☐ Female 女

☐ HKID 香港身份證 ☐ Passport 護照 ☐ Others 其他

- If you are a HKID card holder, please fill in your HKID card number. 若閣下為香港身份證持有人，請填寫你的香港身份證號碼。
- If you are not a HKID card holder, please select your Identity Document type in accordance with the Order of Priority as stipulated in the Personal Information Collection Statement concerning Securities Services.
若閣下並非香港身份證持有人，請根據「有關股票投資服務的個人資料收集聲明」內所規定之優先次序填寫閣下之身份證明文件種類。

☐ HKID
香港身份證

☐ Passport
護照

☐ National Identification document
國民身分證

☐ HKID
香港身份證

☐ Passport
護照

☐ National Identification document
國民身分證

D 日 M 月 Y 年

Home Office
住宅 辦公室

Mobile 流動電話	
Other(s) 其他	

☐ Primary 小學 ☐ Secondary 中學

☐ University 大學 ☐ Professional 專業人士

☐ I declare that I am NOT currently employed by any licensed or registered person to carry on regulated activities as defined in the Securities and Futures Ordinance ("Ordinance"). I undertake to promptly notify the Bank if I become to be employed by any licensed or registered person to carry out regulated activities.

本人確認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。本人承諾將來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。

本人確認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。本人承諾將來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。

☐ I declare that I am currently employed by licensed or registered person to carry on regulated activities as defined in the Securities and Futures Ordinance ("Ordinance"). I understand that I am required to provide the Bank written consent from my employer before I can open and operate this Investment Services Account.

本人確認現時受僱於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。本人明白本人須向貴行提供僱主所發出的同意書方可以於貴行開立及使用這投資服務戶口。

註：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。

Section 2 第二部份: Personal Details 個人資料

Primary Applicant 申請人

Are you a U.S. citizen, green cardholder or residing in U.S.?
您是否美國公民、綠卡持有人或於美國居住?

☐ Yes
是

☐ No
否

Occupation / Designation
職業 / 職銜

Joint Applicant 聯名申請人

☐ Yes
是

☐ No
否

* Optional information 附加資料

If you wish to provide us with your feedback on our services, please refer to our Customer Feedback leaflet which sets out how you can reach us and what follow-up procedures we will take. The leaflet is available at all Standard Chartered branches upon request.

倘若您想對我們的服務提出意見，請參閱我們的「客戶意見」單張，單張內列出聯絡我們的方法及意見處理的程序。有關單張可在各渣打分行索取。

Securities Services Questionnaire 股票投資服務問卷 (Applicable to Securities Services application only 只供申請股票投資服務之用)

Primary Applicant 申請人

1. Are you a U.S. citizen, green cardholder or residing in U.S.?
您是否美國公民、綠卡持有人或於美國居住?

☐ Yes 是

☐ No 否

2. Investment Experience 投資經驗

Do you have any knowledge and investment experience in trading Equities and Exchange-listed Derivative Products?
您有否投資於股票及交易所買賣衍生產品之知識及投資經驗?

☐ Yes. Years of investment experience:
有，投資經驗年期：

☐ < 1 Year
少於1年

☐ 1 - < 3 years
1年 - 少於3年

☐ 3 - < 5 years
3年 - 少於5年

☐ > = 5 years
5年或以上

☐ No
沒有

3. Investment Objective 投資目標

☐ Preservation of Capital
保本

☐ Capital Appreciation
資本增值

☐ Speculation
投機

4. Financial Situation 財務狀況

Cash Needs and Net Worth
資金需要及淨資產

☐ I have adequate regular income to meet my needs. I do not rely on my investment to generate regular income, and I have sufficient net worth to assume the risk and bear the potential loss in trading equities and listed derivative products.
本人的定期收入足以應付所需，我無須倚賴我的投資來賺取定期收入，而我亦擁有足夠淨資產承受投資於股票及交易所買賣衍生產品之潛在損失。

☐ I depend on my investment to meet my current income needs. I will be drawing part of my investments periodically to supplement my income. I cannot assume the risks and tolerate the potential loss in trading equities and listed derivative products.
本人倚賴投資來應付目前的收入需要，本人會定期提取部份投資來補充收入。我不能承受投資於股票及交易所買賣衍生產品之潛在損失。

Joint Applicant 聯名申請人

1. Are you a U.S. citizen, green cardholder or residing in U.S.?
您是否美國公民、綠卡持有人或於美國居住?

☐ Yes 是

☐ No 否

2. Investment Experience 投資經驗

Do you have any knowledge and investment experience in trading Equities and Exchange-listed Derivative Products?
您有否投資於股票及交易所買賣衍生產品之知識及投資經驗?

☐ Yes. Years of investment experience:
有，投資經驗年期：

☐ < 1 Year
少於1年

☐ 1 - < 3 years
1年 - 少於3年

☐ 3 - < 5 years
3年 - 少於5年

☐ > = 5 years
5年或以上

☐ No
沒有

3. Investment Objective 投資目標

☐ Preservation of Capital
保本

☐ Capital Appreciation
資本增值

☐ Speculation
投機

4. Financial Situation 財務狀況

Cash Needs and Net Worth
資金需要及淨資產

☐ I have adequate regular income to meet my needs. I do not rely on my investment to generate regular income, and I have sufficient net worth to assume the risk and bear the potential loss in trading equities and listed derivative products.
本人的定期收入足以應付所需，我無須倚賴我的投資來賺取定期收入，而我亦擁有足夠淨資產承受投資於股票及交易所買賣衍生產品之潛在損失。

☐ I depend on my investment to meet my current income needs. I will be drawing part of my investments periodically to supplement my income. I cannot assume the risks and tolerate the potential loss in trading equities and listed derivative products.
本人倚賴投資來應付目前的收入需要，本人會定期提取部份投資來補充收入。我不能承受投資於股票及交易所買賣衍生產品之潛在損失。

Important Note: The Bank reserves the right to reject this application.
重要提示：銀行保留拒絕此申請的權利。

Section 3 第三部份: Authorisations and Acknowledgement 授權及確認

- I/We represent that the information in Section 1 and Section 2 above is true, complete and correct and I/we authorise Standard Chartered Bank (Hong Kong) Limited (the "Bank") to verify such information from any source the Bank may choose.
本人/吾等聲明上文第1、2部份所載資料均屬真實、完整及正確，本人/吾等授權渣打銀行(香港)有限公司(「銀行」)透過銀行選擇的渠道核證該等資料。
- The Bank is entitled to rely fully on the information and representations contained in this form for all purposes unless it receives notice in writing of any change. I/We undertake to inform the Bank promptly of any material change to the information provided in Section 1 and Section 2 above. The Bank will inform me/us of any material change to its particulars in this application form.
除非銀行接獲有關任何更改的書面通知，否則，銀行有權完全依賴本表格所載的資料及聲明作任何用途。若上文第1、2部份所提供的資料有任何重大更改，本人/吾等承諾立即通知銀行。若本申請表的詳細資料有任何重大更改，銀行將通知本人/吾等。
- I/We confirm my/our request to open the above account(s)/service(s) in accordance with the particulars given above. I/We acknowledge that: (i) Client Terms and the applicable documents referred to in Part A of the Client Terms (including Terms and Conditions for InvestPro and the respective Terms and Conditions for the account(s)/service(s) chosen by me/us in Section 1 above) and any other document which form part of the banking agreement is applicable to such account(s)/service(s) chosen by me/us; and (ii) the banking agreement has been made

available to me/us at a branch of the Bank or website sc.com/hk; and (iii) I/we have read and understood the banking agreement and agree to be bound by it. I/We acknowledge that the risk disclosure statements applicable to the relevant account(s)/service(s) chosen by me/us in Section 1 above as set out in the respective Terms and Conditions for such account(s)/services and any other document have been provided and explained to me/us in a language of my/our choice and I/we have been invited to read them, to ask questions and take independent advice as I/we wish. I/We confirm that I/we have read and understand such risk disclosure statements and consequences, and agree to bear such risks and consequences.

本人/吾等確認本人/吾等要求上文提供的詳細資料開立上述戶口/服務。本人/吾等承認：(i) 客戶條款及當中A部所述的相關文件（包括「專智投資服務」條款及細則及各有關本人/吾等於上述第1部份所選戶口/服務的條款及細則）及任何其他構成銀行協議的文件均適用於該等本人/吾等所選的戶口/服務；(ii) 銀行協議已透過銀行分行或網站 sc.com/hk 提供予本人/吾等；及 (iii) 本人/吾等已細閱和理解銀行協議，並且同意受其約束。本人/吾等確認適用於本人/吾等在本第1部份所選戶口/服務的有關風險披露聲明已該等戶口/服務的各別條款及細則及任何其他文件，並已依本人/吾等所選之語言提供及解釋予本人/吾等。而銀行已呈請本人/吾等細閱有關風險披露聲明，並依本人/吾等所需提出問題及諮詢獨立意見。本人/吾等確認本人/吾等已閱讀並理解該等風險披露聲明和後果，並同意承擔該等風險和後果。

4. I/We acknowledge receipt of and have read and agreed with the Notice to Customers and Other Individuals relating to the Personal Data (Privacy) Ordinance and the Code of Practice on Consumer Credit Data ("Notice"). I/We further agree that all information provided by me/us in this application form and such personal data relating to an individual collected by the Bank from time to time may be used and disclosed for such purposes and to such persons (whether the recipient is located in Hong Kong or another place, or in a place that does not offer the same level of data protection as Hong Kong) in accordance with the Bank's policies on use and disclosure of personal data as set out in the Notice, which may be subject to changes from time to time.

本人/吾等確認收悉並已閱讀「關於《個人資料(私隱)條例》及《個人信貸資料實務守則》致客戶及其他個別人士的通知」（「通知」）並同意通知的內容。本人/吾等進一步同意所有本人/吾等於本表格內提供的資料以及貴行不時收集的有關個別人士的個人資料，均可根據貴行列於通知內有關個人資料使用及披露的政策，就有關用途及向有關人士（不論有關接收人士是處於香港或其他地方，或不論當地的個人資料保護程度是否與香港相若）使用及披露。

5. The Bank may in its absolute discretion permit this application form to be returned to the Bank by facsimile transmission provided that the duly signed original application form must be returned to the Bank within 14 calendar days from the date of the Bank's receipt of the faxed application form, failing which, the Bank reserves the right to refuse to accept any further instruction without further notice and the Bank shall not incur any liability to the customer as a result of the Bank's refusal to act in such circumstances.

銀行有絕對酌情權決定准許客戶以傳真方式交還申請表，但經正式簽署的申請表正本必須自銀行以傳真收到申請表之日起14個日曆日內遞交銀行，否則銀行保留拒絕接受任何進一步指示且無須另行通知的權利，而且銀行概無須由於銀行在上述情況下拒絕行事而對客戶承擔任何責任。

6. I/We confirm, warrant and represent to the Bank that I/we have complied and shall comply at all times with all applicable laws (including without limitation any foreign exchange restriction) with respect to this application and/or other related services.

本人/吾等向銀行確認，保證及聲明本人/吾等已遵守並將在任何時候一直遵守所有有關本人/吾等此申請及/或其他有關服務的適用法律（包括但不限於任何外匯管制）。

7. **Customer Investment Profile 客戶投資取向 (not applicable to Securities Services 不適用於股票投資服務)**

Where I/we have previously reviewed or completed a Customer Investment Profile, I/we confirm that the answers stated in my/our latest Customer Investment Profile reflect my/our current status.

本人/吾等已於早前閱讀或完成一客戶投資取向，本人/吾等確認本人/吾等於有關的客戶投資取向所提供的答案反映本人/吾等之現況。

8. (Applicable to joint application) We confirm and acknowledge that any one of us may give instructions to the Bank on behalf of all account holder(s) in connection with the account(s)/service(s) chosen by us in Section 1 above and that only the account holder who gives investment instructions is subject to transaction assessment on suitability. For our best interest, the Bank has advised us to discuss all investment decisions before entering into any investment transactions.

(適用於聯名戶口申請) 吾等確認任何聯名戶口持有人可以代表其他聯名戶口持有人在第一部份所選之戶口/服務作出投資決定，及只有作出投資指示之聯名戶口持有人須受交易評估。並且，銀行已經建議我們每次作投資前應共同商討。

9. I confirm I understand that the Bank will send the shareholder notices issued by Fund Provider(s) related to my investment fund holding(s) to my email address on record with the bank (if applicable). I acknowledge that I will inform the Bank my intention as early as practicable if I wish to change the delivery channel of the shareholder notices.

本人確認本人了解本行將通過電子郵件（如適用）向本人經本行持有的基金，發送所有經由基金公司發出的股東通知書。本人確認，如果本人希望通過其他渠道收取股東通知書，本人將在實際可行情況下盡早告知本行本人的意向。

10. **Laws and Jurisdiction 法律及司法管轄權**

I/We agree the courts of Hong Kong have exclusive jurisdiction for any proceedings I/we commence. I/We agree the courts of Hong Kong are the most appropriate and convenient courts to settle any disputes relating to any proceedings I/we commence and will not argue to the contrary. I/We agree the Bank may commence proceedings in any jurisdiction (including, but not limited to, the courts of Hong Kong). To the extent allowed by law, I/we agree the Bank may take concurrent proceedings in any number of jurisdictions. I/we agree any proceedings relating to the validity or interpretation of this jurisdiction clause are governed by Hong Kong law.

本人/吾等同意香港法院對本人/吾等提起的任何訴訟享有排他性司法管轄權。本人/吾等同意香港法院是解決與本人/吾等提起的任何訴訟有關的任何爭議的最適合且最方便的法院，並且不會對此提出異議。本人/吾等同意銀行可於任何司法管轄區（包括但不限於香港法院）展開訴訟。在法律允許的情況下，本人/吾等同意銀行可於任何數目的司法管轄區同時展開訴訟。本人/吾等同意任何與本司法管轄權條款的有效性或解釋有關的訴訟均受香港法律管轄。

I/We agree that these terms and conditions in this agreement/application and the banking agreement shall be governed by and construed in accordance with the laws of Hong Kong.

本人/吾等同意本協議/本申請的條款及細則及銀行協議受香港法律管轄並依據香港法律進行解釋。

The following clauses are only applicable to customers who subscribed for SMS Order Confirmation Services and/or E-mail Order Confirmation Services for Securities ("the Service(s)")

以下之條款只適用於已登記股票投資服務之SMS短訊覆盤服務及/或電郵覆盤服務（「服務」）之客戶。

1. I/We understand and acknowledge that neither the Bank nor any of the telecommunication and/or internet services provider companies transmitting the Message ("Companies") or any agent, contractor or third party service provider of the Bank or of any of the Companies engaged in connection with the Service:

本人/吾等明白及承認銀行及任何傳送訊息的電訊公司及/或電子網絡服務提供者（「電訊公司」）或與此服務有關的銀行的或任何電訊公司的代理人、承辦商或第三方面服務提供者：

- (i) makes any warranty in respect of, or accepts any responsibility for, the accuracy, completeness or correctness of any information supplied by the Bank or any other person through the mobile telephone or internet network of any of the Companies or their respective third party service providers pursuant to the Service, nor is any warranty or undertaking given that any information requested pursuant to the Service will be delivered to or received by me/us on time or at all and the Bank shall not be responsible to arrange for any Message to be re-sent to me/us; and

概無就銀行或任何其他人士根據服務透過任何電訊公司或其各自的第三方服務提供者的手提電話或電子網絡提供的任何資訊是否準確、完整或正

確作出保證或承擔任何責任，對於經由根據此服務要求的資訊是否將準時或確實傳送給本人/吾等或由本人/吾等接收或是否傳送予本人/吾等接收亦無提供任何保證或承諾。銀行無須負責安排將任何訊息重新傳送給本人/吾等；及

- (ii) shall be responsible for any loss or damage whatsoever and howsoever suffered or incurred by me/us or any other person using or accessing any information through the Service, or as a result of any such information not having been received on time or at all (whether due to my/our designated mobile telephone having been turned off, not connected with roaming service or not being in my/our possession at the time of transmission, my/our designated mobile telephone and/or e-mail account not capable of receiving information for whatever reason or any delay or failure by me/us to notify the Bank of any change in telecommunication company providing the mobile phone and/or internet service or delay in or failure of transmission owing to failure or breakdown of systems or equipment, termination or suspension of the transmission service by any of the Companies or their respective third party service providers, drastic market movement or otherwise for any other reason whatsoever) except where it is caused directly by the negligence of the Bank.

均無須就本人/吾等或任何其他人士因透過此服務使用或接受任何資訊，或由於該等資訊並未準時或確實接收到（不論是由於本人/吾等指定的手提電話關掉，並未接駁漫遊服務，或在傳送之時並非由本人/吾等持有，或由於本人/吾等指定的手提電話及/或電郵戶口因任何原因不能接收資訊，或本人/吾等延遲或沒有就提供手提電話服務的電訊公司及/或電子網絡服務提供者已更改一事通知銀行，或由於系統或設備失靈或發生故障或任何電訊公司或其各自的第三方服務提供者終止或暫停傳送服務以致延遲或無法傳送，市場大幅波動或任何其他原因）而遭受或招致的任何損失或損害負責，除非該損失或損害因銀行疏忽直接導致。

2. Without prejudice to the generality of any of the terms and conditions of the Securities Services Terms and Conditions I/we entered into with the Bank, I/we agree and acknowledge that the Bank is authorized to disclose to the Companies and their service providers engaged in transmitting the Messages (whether in or outside Hong Kong) sent by the Bank pursuant to the Service and such information regarding me/us, my/our accounts with the Bank and/or my/our Securities transactions and dealings with the Bank as may be necessary to enable the Companies and their service providers to provide the transmission service pursuant to the Service.

在不影響本人/吾等與銀行簽訂的「股票投資服務」的任何條款及細則的概括性含義下，本人/吾等同意及確認，銀行獲授權向從事訊息傳送的電訊公司及第三者服務供應商（不論在香港境內或境外）披露銀行根據此服務發出的訊息及有關本人/吾等、本人/吾等在銀行開設的戶口及/或本人/吾等與銀行進行的股票交易及買賣的資料，以使「電訊公司」及第三者服務供應商能根據此服務提供傳送此服務。

3. I/We undertake promptly to inform the Bank in the event of loss of my/our mobile phone, inaccessible to my e-mail account, any change in my/our mobile phone number and/or e-mail account or telecommunication company or termination of my/our use of the mobile phone service and/or e-mail account services. I/We confirm that the mobile phone / e-mail account registered for the Service is capable of receiving Messages in the language I selected.

本人/吾等承諾本人/吾等若遺失手提電話、未能進入本人之電郵戶口、更改手提電話號碼及/或電郵地址或轉換電訊公司或終止使用手提電話服務及/或電郵服務，必會盡快通知銀行。本人/吾等確認註冊於服務之手提電話及/或電郵戶口具備接收訊息及具備顯示本人所選擇之訊息顯示語言之功能。

4. I/We confirm that I/we am/are the registered user(s) of the mobile phone and/or e-mail account registered for the Service.

本人/吾等確認本人/吾等乃註冊於此服務的手提電話及/或電郵戶口的註冊用戶。

5. I/We acknowledge that the telecommunication and/or internet services provider company may levy roaming and other fees or charges for the transmission of any Messages and/or the provision of e-mail account and I/we agree that all fees, charges, and expense (including but not limited to roaming charges) incurred pursuant to the Service will be borne by me/us. The Bank is entitled at any time by notice to impose charges for the Service and to change the rate of such charges.

本人/吾等承認電訊公司及/或電子網絡服務提供者可就任何訊息的傳送及/或提供電郵戶口收取漫遊費及其他費用或收費，本人/吾等同意，所有根據此服務招致的費用、收費及支出（包括但不限於漫遊費）將由本人/吾等負擔。銀行有權隨時發出通知收取服務費用及更改有關的收費。

Section 4: Disclosure of Transaction Related Information in respect of the account(s)/service(s) applied herein

第四部份：就本表格下可申請的戶口/服務而披露的交易相關資料

Capacity 行事身分

- For Debt Securities Services (Primary and Secondary Market bonds/Structured Notes) / Equity Linked Investment Services:

- (i) Unless otherwise specified in the client order form, Standard Chartered Bank (Hong Kong) Limited (Bank) will transact on our own account (as principal) and then enter into another transaction with you to offer the products to you.
- (ii) In respect of an eligible dispute arising between Standard Chartered Bank (Hong Kong) Limited and the client out of the selling process or processing of the related transaction, Standard Chartered Bank (Hong Kong) Limited is required to enter into a Financial Dispute Resolution Scheme process with the client.

就債券投資服務（一手及二手市場債券及結構性票據）/股票掛鉤投資服務而言：

- (i) 除客戶指出上列明，渣打銀行(香港)有限公司(銀行)將作為委託人/主事人以本行賬戶進行交易，然後與客戶進行另一項交易以提供產品。
- (ii) 對於渣打銀行(香港)有限公司與客戶之間因銷售過程或處理有關交易而產生的合資格爭議，渣打銀行(香港)有限公司須與客戶進行金融糾紛調解計劃程序。

- For Debt Securities Services (Retail IPO bonds subscription) / Investment Fund Services:

- (i) Unless otherwise specified in the client order form, Standard Chartered Bank (Hong Kong) Limited (Bank) will act as your agent on your behalf for effecting transactions in relation to the products distributed by the Bank under these Services.
- (ii) In respect of an eligible dispute arising between Standard Chartered Bank (Hong Kong) Limited and the client out of the selling process or processing of the related transaction, Standard Chartered Bank (Hong Kong) Limited is required to enter into a Financial Dispute Resolution Scheme process with the client.

就債券投資服務（首次公開發售零售債券認購交易）/基金投資服務而言：

- (i) 除客戶指出上列明，渣打銀行(香港)有限公司(銀行)將作為客戶的代理人代表客戶進行銀行於這些服務下分銷的產品的相關交易。
- (ii) 對於渣打銀行(香港)有限公司與客戶之間因銷售過程或處理有關交易而產生的合資格爭議，渣打銀行(香港)有限公司須與客戶進行金融糾紛調解計劃程序。

Affiliation 聯繫

- For Debt Securities Services / Equity Linked Investment Services – where Standard Chartered Bank (SCB) is the Issuer as specified in the relevant offering documents:

SCB and the Bank are affiliated as both are members of the Standard Chartered Group. The Bank may act for SCB in other capacity (including as Arranger and Market Agent for SCB in respect of Equity Linked Investments, or as otherwise provided under the relevant offering documents), and is affiliated with SCB in other ways being members of the same Group.

就債券投資服務 / 股票掛鉤投資服務而言-於有關銷售文件上指明渣打銀行為發行人的情況下：

渣打銀行及銀行均為渣打集團之成員。銀行或會以其他身份代表渣打銀行行事（包括以股票掛鉤投資產品的安排行及市場代理的身份，或以其他於有關銷售文件上指明的身份），而作為同一集團成員，銀行亦會以其他方式跟渣打銀行相關聯。

- For Debt Securities Services / Equity Linked Investment Services – in situations other than the above:

The Bank is not: (a) a person beneficially owning, directly or indirectly, 20% or more of the ordinary share capital of the Issuer or able to exercise directly or indirectly, 20% or more of the total votes in the general meeting of the Issuer; (b) a person controlled by a person which meets one or both of the descriptions given in (a); or (c) a member of the group of which any of the Issuer forms part. However, the Bank may be affiliated with the Issuer in other ways.

就債券投資服務 / 股票掛鉤投資服務–於上述以外的其他情況下而言：

銀行不是：(a)直接或間接地實益擁有任何發行人20%或以上普通股本，或能夠在任何發行人的股東大會上直接或間接地行使20%或以上的總表決權的人士；(b)受符合以上(a)款所述情況之一或全部情況的人士所控制的人士；或(c)任何發行人構成部分的集團當中的一員。但是，銀行可能有其他方式與發行人相關聯。

- For Investment Fund Services:

- i) (except for Signature CIO Funds and Standard Chartered Funds Variable Capital Company ("SC Funds VCC") Funds) Unless otherwise specified in the client transacting document or order review session when transacting through online, the Bank is not affiliated with the Issuer when distributing third party funds. However, the Bank may from time to time launch fund products which may be affiliated with the Issuer. So, client should refer to the specific Bank's disclosure prior to or at the point of entering into any transaction in investment products.
- ii) (For Signature CIO Funds) Standard Chartered Bank (Singapore) Limited ("SCB SG") acts as an Investment Advisor of this fund. Both the Bank and SCB SG are wholly owned by Standard Chartered Group.
- iii) (For SC Funds VCC) Standard Chartered Bank (Singapore) Limited ("SCB SG") acts as an Investment Manager, Administrator and Custodian of this fund. With respect to the Bank's affiliation with SC Funds VCC, SC Funds VCC is a wholly owned subsidiary of Standard Chartered Bank (Singapore) Limited ("SCB SG") and is also sponsored and managed by SCB SG. Both the Bank and SCB SG are wholly owned by Standard Chartered Group.
- iv) Potential conflicts of interest may arise from the different capacity taken (including but not limited to agent, advisor, fund manager and issuer) by the Bank and/or its affiliate(s) in connection with any Transaction. The Bank and/or any its affiliate(s)'s economic interests in each capacity may be contradicting to client's interest in any Transaction.

就基金投資服務而言：

- i) (不適用於CIO精選基金及 Standard Chartered Funds Variable Capital Company (「SC Funds VCC」)) 除非於客戶的交易文件或網上平台的交易詳情預覽內另有說明，本行在分銷第三方基金時，與發行人並無關聯。然而，本行或可能會不時推出與發行人有關聯的基金產品，因此客戶應在交易前或在交易進行時，參閱本行對該投資產品的特定披露。
- ii) (適用於CIO精選基金) 渣打銀行(新加坡)有限公司 (「渣打新加坡」) 擔任此基金的投資顧問，渣打銀行(香港)有限公司 (「渣打香港」) 及渣打新加坡均為渣打銀行集團的全資子公司。
- iii) (適用於SC Funds VCC) 渣打新加坡擔任此基金的投資經理、管理人及託管人。關於渣打香港與 SC Funds VCC 的關係，SC Funds VCC 是渣打新加坡的全資子公司，並由渣打新加坡全資資助及管理。渣打香港及渣打新加坡均為渣打銀行集團的全資子公司。
- iv) 潛在的利益衝突可能因本行及/或其關聯方在任何交易中不同的行事身份(包括但不限於代理人、顧問、基金經理人及發行人)而產生。本行及/或其任何關聯公司在各行事身份中的經濟利益或可能與客戶的任何交易產生利益相衝突。

Independence 獨立性

- For Debt Securities Services (Structured Notes) / Equity Linked Investment Services:

The Bank may NOT be an independent intermediary because the Bank may receive fees, commissions, other monetary or non-monetary benefits from other parties (which may include product issuers), in our capacity as principal, in relation to our distribution of investment products to clients. For details, client should refer to the Bank's disclosure on monetary and non-monetary benefits which are required to deliver to client prior to or at the point of entering into any transaction in investment products.

就債券投資服務 (結構性票據) / 股票掛鉤投資服務而言：

本行可能並非獨立的中間人，因為本行作為委託人/主事人有可能收取由其他人士(可能包括產品發行人)就本行向客戶分銷投資產品而提供的費用、佣金、其他金錢或非金錢收益。詳情請參閱本行與客戶就訂立任何投資產品交易前或在訂立任何投資產品交易時所提供的金錢收益及非金錢收益披露。

- For Debt Securities Services (Retail IPO bonds subscription) / Investment Fund Services:

The Bank may NOT be an independent intermediary because the Bank may receive fees, commissions, other monetary or non-monetary benefits from other parties (which may include product issuers), in our capacity as agent, in relation to our distribution of investment products to clients. For details, client should refer to the Bank's disclosure on monetary and non-monetary benefits which are required to deliver to client prior to or at the point of entering into any transaction in investment products.

就債券投資服務 (首次公開發售零售債券認購交易) / 基金投資服務而言：

本行可能並非獨立的中間人，因為本行作為代理人有可能收取由其他人士(可能包括產品發行人)就本行向客戶分銷投資產品而提供的費用、佣金、其他金錢或非金錢收益。詳情請參閱本行與客戶就訂立任何投資產品交易前或在訂立任何投資產品交易時所提供的金錢收益及非金錢收益披露。

- For Debt Securities Services (Primary and Secondary Market bonds):

Where i) the debt security is issued by the Bank or its subsidiary; or ii) the Bank has entered into a subscription agreement with the Issuer at the issuance of the debt security, as specified in the relevant offering document, the Bank is NOT an independent intermediary because the Bank has close links or other legal or economic relationships with issuers of products that we may distribute to clients. Otherwise, the Bank is an independent intermediary because the Bank does not receive fees, commissions, or any other monetary benefits, provided by any party in relation to our distribution of the investment products to clients; and the Bank does not have any close links or other legal or economic relationships with product issuers, or receive any non-monetary benefits from any party, which are likely to impair our independence to favour any particular investment product, any class of investment products or any product issuer.

就債券投資服務 (一手及二手市場債券) 而言：

如有關銷售文件上指明 i) 本行或其附屬公司為該債券之發行人；或 ii) 本行於債券發行時曾與發行人訂立認購協議，則本行並非獨立的中間人，因為本行與本行可能向客戶分銷的產品的發行人有緊密聯繫或其他法律或經濟關係。

否則，本行是獨立的中間人，因為本行沒有收取由其他人士就本行向客戶分銷該投資產品而提供的費用、佣金、任何其他金錢收益；及本行與產品發行人沒有任何緊密聯繫或其他法律或經濟關係，或沒有從任何人士取得任何非金錢收益，而這些聯繫、關係或收益可能損害我們的獨立性，使本行偏向任何特定投資產品、任何投資產品類別或任何產品發行人。

Execution of Orders 執行交易指示

- For Debt Securities Services / Equity Linked Investment Services:

The Bank may execute your orders through our affiliates, connected parties or third party brokers and will take into account relevant execution factors including but not limited to price, costs, speed of execution, likelihood of execution and settlement, size of order and nature of order to achieve the best possible result for our clients.

There may be circumstances, including due to insufficient pricing information or insufficient immediately available liquidity, where an external quote is not available for your order and therefore the order may be executed through SCB trading desks.

就債券投資服務 / 股票掛鉤投資服務而言：

本行或會透過聯繫人，有關人士或第三方經紀執行您的交易指示，當中考慮相關因素，包括但不限於價格、成本、執行速度、執行交易及交收之可能性、交易金額以及交易指示性質，為客人達致在可行情況下的最佳交易結果。

在某些情況下，包括因缺乏市場價格資訊或缺乏即時市場流通量，而無法就您的交易指示取得對外報價，本行或會透過內部交易形式執行您的交易指示。

Disclosure of monetary and non-monetary benefits 披露金錢收益及非金錢收益

- For Debt Securities Services (Retail IPO bonds subscription and Structured Notes) / Equity Linked Investment Services:

- (i) The Bank receives subscription fee / service charge paid by relevant clients and/or consideration and monetary or non-monetary benefits from any party. Relevant details will be specified in related application form or client order form.
- (ii) The Bank may from time to time receive sponsorship from the Issuer for the issuance of products and related purposes.

就債券投資服務（首次公開發售零售債券認購交易及結構性票據） / 股票掛鉤投資服務而言：

- (i) 銀行將從相關客戶支付予銀行的認購費或手續費中；及 / 或由任何人士中得到代價及金錢或非金錢利益。相關資料將刊載於申請表或客戶指示內。
- (ii) 本行或會不時從發行人獲得贊助，以作產品發行及相關用途。

- For Investment Fund Services:

- (i) The Bank receives remuneration for distributing the fund(s) in an amount equivalent to the Flat Subscription Fee or Service Charge on switching specified in the Order Form (or for Class B funds, the applicable Contingent Deferred Sales Charge for first year redemption specified in the Prospectus), as the case may be.
- (ii) The Bank also receives annuity income or its receivable (in an amount not quantifiable at this stage by sharing the fund(s)'s total annual ongoing fees) for distributing and holding the fund(s).
- (iii) The Bank may from time to time receive sponsorship from Issuer for promoting the investment fund services and related purposes.
- (iv) The Bank may receive placement fee from the Issuer based on a percentage of the total subscription amount raised by the Bank for a specific period.
- (v) (For Signature CIO Funds Only) The Bank may also receive the sharing of investment advisory fees or its receivable from SCB SG (in an amount not quantifiable at this stage) for distributing and holding the fund(s).
- (vi) (For SC Funds VCC Only) The Bank may also receive the sharing of investment management fees and operating & administration expense or their receivables from SCB SG (in an amount not quantifiable at this stage) for distributing and holding the fund(s).

For details, client should refer to the Bank's disclosure on monetary and non-monetary benefits which are required to deliver to client prior to or at the point of entering into any transaction in investment products.

就基金投資服務而言：

- (i) 銀行就基金分銷可獲收益，金額相等於基金投資服務指示中列出之實際認購費或轉換手續費。若情況為B類基金，金額則相等於認購章程中所列適用於首年贖回基金的「或有遞延銷售費」。
 - (ii) 本行亦就基金分銷及持有基金可得或可取得年度收益（現階段未能確定金額，但可分享基金全年經常性開支）。
 - (iii) 本行或會不時從發行人獲得贊助以作基金服務推廣及相關用途。
 - (iv) 本行就基金分銷的一段時期內或可從認購總額獲得一定比例的配售費。
 - (v) （適用於CIO精選基金）本行亦就基金分銷及持有基金可能透過渣打新加坡分享可得或可取得的投資顧問費（現階段未能確定）。
 - (vi) （適用於SC Funds VCC）本行亦就基金分銷及持有基金可能透過渣打新加坡分享可得或可取得的投資管理費以及營運及管理費用（現階段未能確定）。
- 欲了解詳情，客戶應參閱本行在進行任何投資產品交易之前或正在進行交易時，需要向客戶提供本行的金錢收益及非金錢收益之相關披露。

- For Debt Securities Services (Primary and Secondary Market bonds):

- (i) The Bank may receive trading profits which, together with any operating or administrative costs it may incur in providing these products, will be subsumed in the amount of "trading price" as accepted by the relevant customers to the Bank. Relevant details will be specified in related application form or client order form.
- (ii) Additional profit may be incurred if the Bank conducts proprietary trading for the debt securities.

就債券投資服務（一手及二手市場債券）：

- (i) 銀行可獲交易收益，其將連同因提供這些產品而招致的任何營運或管理支出納入有關客戶所接受的交易價格之中。相關資料將刊載於申請表或客戶指示內。
- (ii) 如本行就此債券進行自營交易，將可能獲得其他額外收益。

- For all the account(s)/service(s) applied herein:

Sale staff of the Bank receives remuneration for providing various banking and related services with reference to the performance of the relevant staff. The remuneration structure is subject to review by the Bank from time to time and includes salaries, incentives, bonuses, etc..

就表格下可申請的所有戶口 / 服務：

銀行的銷售人員會因應其表現就提供金融及相關服務而獲取薪酬。薪酬結構包括薪金、獎金、花紅等等，銀行將就其不時作出檢討。

Discount Offer 折扣優惠

- For all the account(s)/service(s) applied herein:

The Bank may from time to time offer discount of fees and charges to customers subject to terms and conditions and during period(s) which the Bank may decide. To be eligible for any discount offer, customers may have to fulfill criteria as may be required under the relevant terms and conditions.

就本表格下可申請的所有戶口 / 服務：

本行或不時為客戶提供收費折扣優惠，但須受條款約束，並只於本行指定期內適用。客戶或須符合有關條款內的準則以獲取任何折扣優惠。

IMPORTANT NOTES 重要事項

Investment involves risks. The worst case will result in loss of your entire investment.

投資涉及風險，在最壞的情況下，投資者可能損失全部的投資。

It is crucial to understand the specific terms and risks mentioned in the Application Form for Securities Services, the Terms and Conditions for Securities Services, for InvestPro and other relevant documents (e.g. product leaflet) before investing (Collectively referred to “Product Documents”).

投資者在決定是否投資該產品前，應審慎閱讀股票投資服務申請表，「股票投資服務」、「專智理財服務」的條款及細則及其他相關文件（例如：產品章程）（合稱“有關文件”）所披露的細節及風險。

I/We confirm my/our request to open the securities account(s)/ service(s) in accordance with the particulars given above. I/we acknowledge that: (i) Client Terms and the applicable documents referred to in Part A of the Client Terms (including respective Terms and Conditions for the account(s)/ service(s) chosen by me/us in Section 1 above) and any other document which form part of the banking agreement is applicable to such account(s)/ service(s) chosen by me/us; and (ii) the banking agreement has been made available to me/us at a branch of the Bank or website sc.com/hk; and (iii) I/we have read and understood the banking agreement and agree to be bound by it. I/We acknowledge that the risk disclosure statements applicable to the relevant account(s)/ service(s) chosen by me/us in Section 1 above as set out in the respective Terms and Conditions for such account(s)/ services and any other document have been provided and explained to me/us in a language of my/our choice and I/we have been invited to read them, to ask questions and take independent advice as I/we wish. I/we confirm that I/we have read and understood such risk disclosure statements and consequences, and agree to bear such risks and consequences.

本人/吾等確認本人/吾等要求上文提供的詳細資料開立上述股票投資戶口/服務。本人/吾等承認：(i)客戶條款及當中A部所述的相關文件（包括各別有關本人/吾等於上述第1部份所選戶口/服務的條款及細則）及任何其他構成銀行協議的文件均適用於該等本人/吾等所選的戶口/服務；(ii)銀行協議已透過銀行分行或網站sc.com/hk提供予本人/吾等；及(iii)本人/吾等已細閱和理解銀行協議，並且同意受其約束。本人/吾等確認適用於本人/吾等第1部份所選戶口/服務的有關風險披露聲明已該等戶口/服務的各別條款及細則及任何其他文件，並已依本人/吾等所選之語言提供及解釋予本人/吾等。並而銀行已呈請本人/吾等細閱有關風險披露聲明，並依本人/吾等所需提出問題及諮詢獨立意見。本人/吾等確認本人/吾等已閱讀並理解該等風險披露聲明和後果，並同意承擔該等風險和後果。

Standard Chartered China Connect Securities Services 渣打中華通股票投資服務

I/We confirm my/our request to open the China Connect securities account(s)/ service(s) in accordance with the particulars given above. I/we acknowledge that: (i) Client Terms and the applicable documents referred to in Part A of the Client Terms (including respective Terms and Conditions for the account(s)/ service(s) chosen by me/us in Section 1 above) and any other document which form part of the banking agreement is applicable to such account(s)/ service(s) chosen by me/us; and (ii) the banking agreement has been made available to me/us at a branch of the Bank or website sc.com/hk; and (iii) I/we have read and understood the banking agreement and agree to be bound by it. I/We acknowledge that the risk disclosure statements applicable to the relevant account(s)/ service(s) chosen by me/us in Section 1 above as set out in the respective Terms and Conditions for such account(s)/ services and any other document have been provided and explained to me/us in a language of my/our choice and I/we have been invited to read them, to ask questions and take independent advice as I/we wish. I/we confirm that I/we have read and understood such risk disclosure statements and consequences, and agree to bear such risks and consequences.

本人/吾等確認本人/吾等要求上文提供的詳細資料開立上述中華通股票投資戶口/服務。本人/吾等承認：(i)客戶條款及當中A部所述的相關文件（包括各別有關本人/吾等於上述第1部份所選戶口/服務的條款及細則）及任何其他構成銀行協議的文件均適用於該等本人/吾等所選的戶口/服務；(ii)銀行協議已透過銀行分行或網站sc.com/hk提供予本人/吾等；及(iii)本人/吾等已細閱和理解銀行協議，並且同意受其約束。本人/吾等確認適用於本人/吾等第1部份所選戶口/服務的有關風險披露聲明已該等戶口/服務的各別條款及細則及任何其他文件，並已依本人/吾等所選之語言提供及解釋予本人/吾等。並而銀行已呈請本人/吾等細閱有關風險披露聲明，並依本人/吾等所需提出問題及諮詢獨立意見。本人/吾等確認本人/吾等已閱讀並理解該等風險披露聲明和後果，並同意承擔該等風險和後果。

Personal Information Collection Statement concerning China Connect Orders¹**有關中華通買賣盤¹的個人資料收集聲明****Processing of Personal Data as part of the China Connect Securities Services****中華通股票投資服務的個人資料處理**

You acknowledge and agree that in Standard Chartered Bank (Hong Kong) Limited (the “Bank”), its service providers and its execution broker (collectively as “we” or “us”) providing China Connect Securities Services (“Services”) to you, we will be required to:

閣下確認和同意渣打銀行（香港）有限公司（「本行」）、其服務供應商及其交易經紀（統稱「我們」）為閣下提供中華通股票投資服務（「本服務」），我們需要：

- (i) tag each of your orders submitted to the trading system with a Broker-to-Client Assigned Number (“BCAN”) that is unique to you or the BCAN that is assigned to your joint account with the Bank, as appropriate; and
為閣下每個提交予交易系統的指令附加一個專為閣下而設的**券商客戶編碼**或本行為閣下聯名帳戶所分配的**券商客戶編碼**（如適用）；及
- (ii) provide to the Stock Exchange of Hong Kong (“SEHK”) your assigned BCAN and such identification information of you (“**Client Identification Data**” or “**CID**”), including your name in English and Chinese (if applicable and available), Identity Document (“ID”) issuing place, ID type and ID number relating to you, as SEHK may request from time to time under the Rules of the Exchange.
向香港聯合交易所（「香港聯交所」）提供閣下獲分配的**券商客戶編碼**及閣下的身份資料（「**客戶身份資料**」），包括閣下的中英文姓名（如適用及如有）、簽發身份文件的地方、身份文件種類及閣下的身份文件號碼，因為香港聯交所可能不時根據交易所規則提出要求。

Without limitation to any notification we have given you or consent we have obtained from you in respect of the processing of your personal data in connection with your account and our services to you, you acknowledge and agree that we may collect, store, use, disclose and transfer personal data relating to you as required as part of our Services, including as follows:

在不受我們就閣下帳戶或所提供服務的個人資料處理情況而向閣下發出的通知或從閣下取得的同意之限制下，閣下確認及同意我們可以根據服務的要求收集、儲存、使用、披露及轉移閣下的個人資料，包括以下：

- (a) to disclose and transfer your BCAN and CID to the **Exchange and the relevant SEHK Subsidiaries**⁴ from time to time, including by indicating your BCAN when inputting a China Connect Order into the trading system, which will be further routed to the relevant **China Connect Market Operator**² on a real-time basis;
不時向交易所和相關的**香港聯交所附屬公司**⁴披露及轉移閣下的**券商客戶編碼**和**客戶身份資料**，包括在向交易系統輸入中華通買賣盤時顯示閣下的**券商客戶編碼**，而該系統將實時進一步轉往相關的**中華通市場營運者**²；
- (b) to allow each of SEHK and the relevant SEHK Subsidiaries⁴ to: (i) collect, use and store your BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House³ (in the case of storage, by any of them or via Hong

Kong Exchanges and Clearing Limited) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Connect Market Operator² (directly or through the relevant China Connect Clearing House³) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;

容許香港聯交所及相關的香港聯交所附屬公司⁴：(i) 收集、儲存及使用閣下的券商客戶編碼、客戶身份資料和任何相關的中華通結算所³提供的整合、核實及配對之券商客戶編碼及客戶身份資料（在儲存的情況下，則由任何一方或經由香港交易及結算所有限公司），以作市場監督及監察和執行交易所規則之用；(ii) 基於以下(c) 項及(d) 項所列之用途，不時向相關的中華通市場營運者²轉移該等資料（直接或透過相關的中華通結算所³）；及(iii) 向香港的相關監管部門和執法機構披露該等資料，以便當局履行與香港金融市場有關的法定職能；

- (c) to allow the relevant **China Connect Clearing House**³ to: (i) collect, use and store your BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator², the SEHK and the relevant SEHK Subsidiary⁴; (ii) use your BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and

容許相關的**中華通結算所**³：(i) 收集、儲存及使用閣下的券商客戶編碼及客戶身份資料，以便整合和核實券商客戶編碼及客戶身份資料，以及根據其投資者身份數據庫配對券商客戶編碼及客戶身份資料，並向相關的中華通市場營運者²、香港聯交所及相關的香港聯交所附屬公司⁴提供該等整合、核實和配對的券商客戶編碼及客戶身份資料；(ii) 使用閣下的券商客戶編碼及客戶身份資料，以履行證券帳戶管理的監管職能；及(iii) 向就該等資料擁有司法管轄權的內地監管部門和執法機構披露相關資料，以便當局履行與內地金融市場有關的監管、監督及執法職能；及

- (d) to allow the relevant China Connect Market Operator² to: (i) collect, use and store your BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the Services and enforcement of the rules of the relevant China Connect Market Operator²; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets.

容許相關的中華通市場營運者²：(i) 收集、使用及儲存閣下的券商客戶編碼及客戶身份資料，以監督及監察透過使用本服務於相關中華通市場進行的證券交易，以及執行相關中華通市場營運者²的規則；及(ii) 向內地監管部門和執法機構披露相關資料，以便當局履行與內地金融市場有關的監管、監督及執法職能。

By instructing the Bank in respect of any transaction relating to China Connect Order¹, you acknowledge and agree that we may use your personal data for the purposes of complying with the requirements of SEHK and its rules as in force from time to time in connection with the Services. You also acknowledge that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes in connection with the Services, whether before or after such purported withdrawal of consent.

當閣下向本行發出與中華通買賣盤¹有關的交易指示，即代表閣下確認及同意我們可以使用閣下的個人資料，以遵守香港聯交所的要求及其不時生效、與本服務相關的規則。另外，閣下亦確認即使日後聲稱撤銷同意聲明，閣下的個人資料可能繼續被儲存、使用、披露、轉移及以其他方式處理，以作上述與本服務相關的用途，不論在閣下撤銷同意聲明之前或之後。

Consequences of failing to provide Personal Data or Consent

未能提供個人資料或同意聲明的後果

Failure to provide the Bank with your personal data or consent as described above may mean that the Bank will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with our Services.

閣下如未能如上述向本行提供個人資料或同意聲明，本行將不能或無法繼續（視乎情況而定）執行閣下的交易指示或向閣下提供我們的服務。

This authorization and consent of the use and transfer of personal data is in addition to the Notice to customers and other individuals relating to the Personal Data (Privacy) Ordinance (“Ordinance”) and the Code of Practice on Consumer Credit Data (“Notice”) you received previously. You can refer to the Notice in more detail on the Bank’s website if you wish to read before giving the above prescribed consent.

本使用及轉移個人資料之授權書和同意書為閣下早前獲發之客戶和其他人士《個人資料（私隱）條例》（「條例」）及《個人信貸資料實務守則》之通知書（「通知書」）以外的附加文件。閣下如欲在作出上述同意聲明前細閱通知書，請參閱本行網頁內之通知書全文。

The person to whom requests for access to or correction of data held by the Bank, or for information regarding the Bank’s data policies and practices and kinds of data held by the Bank is:

“Data Protection Officer
Standard Chartered Bank (Hong Kong) Limited
GPO Box 21, Hong Kong”

任何關於查閱或更正本行所持資料，或索取關於本行資料政策及慣例或所持資料類別的要求，請向下列人士提出：

「香港郵政信箱21號
渣打銀行（香港）有限公司
資料保障主任」

⁴ SEHK Subsidiaries means a wholly-owned subsidiary of SEHK duly authorised as an automated trading service provider under the Securities and Futures Ordinance and licensed under applicable laws in Mainland China to provide order-routing service under China Connect.

香港聯交所附屬公司是指香港聯交所全資擁有的附屬公司，並根據《證券及期貨條例》獲正式授權成為自動化交易服務提供者，且按照中國內地適用法規註冊為中華通提供買賣盤傳遞服務。

U.S. Securities Services 美國股票（「美股」）投資服務

I/We confirm my/our request to open the U.S. securities account(s)/ service(s) in accordance with the particulars given above. I/we acknowledge that: (i) Client Terms and the applicable documents referred to in Part A of the Client Terms (including respective Terms and Conditions for the account(s)/ service(s) chosen by me/us in Section 1 above) and any other document which form part of the banking agreement is applicable to such account(s)/ service(s) chosen by me/us; and (ii) the banking agreement has been made available to me/us at a branch of the Bank or website sc.com/hk; and (iii) I/we have read and understood the banking agreement and agree to be bound by it. I/We acknowledge that the risk disclosure statements applicable to the relevant account(s)/ service(s) chosen by me/us in Section 1 above as set out in the respective Terms and Conditions for such account(s)/ services and any other document have been provided and explained to me/us in a language of my/our choice and I/we have been invited to read them, to ask questions and take independent advice as I/we wish. I/we confirm that I/we have read and understood such risk disclosure statements and consequences, and agree to bear such risks and consequences.

本人/吾等確認本人/吾等要求上文提供的詳細資料開立上述美國股票（「美股」）投資戶口/服務。本人/吾等承認：(i) 客戶條款及當中A部所述的相關文件（包括各別有關本人/吾等於上述第1部份所選戶口/服務的條款及細則）及任何其他構成銀行協議的文件均適用於該等本人/吾等所選的戶口/服務；(ii) 銀行協議已透過銀行分行或網站sc.com/hk提供予本人/吾等；及(iii) 本人/吾等已細閱和理解銀行協議，並且同意受其約束。本人/吾等確認適用於本人/吾等在第1部份所選戶口/服務的有關風險披露聲明已該等戶口/服務的各別條款及細則及任何其他文件，並已依本人/吾等所選之語言提供及解釋予本人/吾等。而銀行已呈請本人/吾等細閱有關風險披露聲明，並依本人/吾等所需提出問題及諮詢獨立意見。本人/吾等確認本人/吾等已閱讀並理解該等風險披露聲明和後果，並同意承擔該等風險和後果。

- ☐ I acknowledge and understand that this document includes but not limited to the risk disclosures. I have read and understood this document. I understand that I should seek independent legal and / or financial advice regarding the product, if I deem it necessary. I acknowledge that I have read and understood the contents of the Risk Disclosure Statement on U.S. Securities.
- 我確認並理解本文件包括但並不限於風險披露。我已閱讀並理解本文件。我明白，如果我認為有必要，我應該就產品尋求獨立的法律和/或財務建議。我承認我已閱讀並理解美國股票風險披露聲明的內容。

Documentation 文件

- I/We acknowledge that I/we have received and understood the Product Documents and that the above details and the risk disclosure statements stated in the Product Documents are provided in a language of my/our choice and I/we have been invited to read them, to ask questions and take independent advice if I/we wish.
- 本人 / 吾等確認本人 / 吾等已收到及明白有關文件。以上的細節及有關文件內之風險披露聲明,均以本人 / 吾等選擇的文字書寫。銀行已呈請本人 / 吾等細閱有關文件，提出問題或諮詢獨立意見。

Investment Decision 投資決定

- I/We acknowledge that this application is made on my/our own request.
- 本人 / 吾等確認本申請乃由本人 / 吾等提出。
- I/We understand that the Bank shall not be obliged to give any advice as to the selection of securities to me/us or to provide discretionary management services to me/us under the Terms and Conditions for Securities Services, and each instruction to effect transactions in securities shall be decided upon and issued by me/us and the Bank does not and will not hold out itself or any of its directors, officers, employees or agents as having the ability to advise or provide information to me/us on transactions in securities or any other matter connected herewith.
- 本人 / 吾等明白本行並無責任就證券的挑選向本人 / 吾等提供任何意見或根據股票投資服務條款及細則向本人 / 吾等提供全權管理服務，每次進行證券交易之指示均為本人 / 吾等決定及發出，本行現時及日後均不會認為其本身或其任何董事、高級職員、僱員或代理有能力向本人 / 吾等提議或提供有關證券交易或其他有關事宜之資料。

Section 6: TERMS AND CONDITIONS FOR SECURITIES eDOCUMENTS SERVICE**第六部份：電子股票文件服務條款及細則**

I/We confirm my/our request to open the above account(s)/ service(s) in accordance with the particulars given above. I/we acknowledge that: (i) Client Terms and the applicable documents referred to in Part A of the Client Terms (including Securities eDocuments Service respective Terms and Conditions for the account(s)/ service(s) chosen by me/us in Section 1 above) and any other document which form part of the banking agreement is applicable to such account(s)/ service(s) chosen by me/us; and (ii) the banking agreement has been made available to me/us at a branch of the Bank or website sc.com/hk; and (iii) I/we have read and understood the banking agreement and agree to be bound by it. I/We acknowledge that the risk disclosure statements applicable to the relevant account(s)/ service(s) chosen by me/us in Section 1 above as set out in the respective Terms and Conditions for such account(s)/ services and any other document have been provided and explained to me/us in a language of my/our choice and I/we have been invited to read them, to ask questions and take independent advice as I/we wish. I/we confirm that I/we have read and understood such risk disclosure statements and consequences, and agree to bear such risks and consequences.

本人 / 吾等確認本人 / 吾等要求上文提供的詳細資料開立上述戶口 / 服務。本人 / 吾等承認：(i) 客戶條款及當中A部所述的相關文件（包括電子股票文件服務及各別有關本人 / 吾等於上述第1部份所選戶口 / 服務的條款及細則）及任何其他構成銀行協議的文件均適用於該等本人 / 吾等所選的戶口 / 服務；(ii) 銀行協議已透過銀行分行或網站 sc.com/hk 提供予本人 / 吾等；及 (iii) 本人 / 吾等已細閱和理解銀行協議，並且同意受其約束。本人 / 吾等確認適用於本人 / 吾等第1部份所選戶口 / 服務的有關風險披露聲明已該等戶口 / 服務的各別條款及細則及任何其他文件，並已依本人 / 吾等所選之語言提供及解釋予本人 / 吾等。並而銀行已呈請本人 / 吾等細閱有關風險披露聲明，並依本人 / 吾等所需提出問題及諮詢獨立意見。本人 / 吾等確認本人 / 吾等已閱讀並理解該等風險披露聲明和後果，並同意承擔該等風險和後果。

Section 7 第七部份: InvestPro Documentation 專智投資服務有關文件

- You can scan the QR Codes below for the following documents:
您可以掃描以下二維碼以檢閱有關文件：

Product Leaflet
產品單張



English
英文

Bank's Service Charges Booklet
銀行服務收費一覽表



Chinese
中文



I, _____ (in BLOCK LETTERS), a staff member of Standard Chartered Bank (Hong Kong) Limited, declare that I have provided the respective risk disclosure statements to the above mentioned applicant(s) in a language of ☐ English / ☐ Chinese at the applicant(s)'s choice, invited the applicant(s) to read the respective risk disclosure statements, to ask questions and to take independent advice if the applicant(s) wishes.

Signature of Sales Staff (Signing No. _____) Date: (_____) Sales Staff's HKMA Registration Number in BLOCK LETTERS: (_____))

Application process has been voice-recorded (not applicable to SXA)

Date and Time: _____

Independent Officer:

Signature of Independent Officer (Signing No.: _____)

Name: _____ Staff ID: _____

Escalation Approval (if applicable):

Signature of Approver (Signing No.: _____)

Name: _____ Staff ID: _____

Important Note:PD/CS Sign-up (All customers)

- For (i) VL customer or (ii) customer risk profile = 1 or (iii) customer without specific product or derivative product knowledge or (iv) customer can't fulfil a/c opening eligibility conditions such as US Persons cannot proceed.

SXA Sign-up

- For ordinary customers with NO investment experience, 2nd checker is required.

Second Checker (if applicable):

Signature of Second Checker (Signing No.: _____)

Name: _____ Staff ID: _____

CDD Section**Primary Applicant:**

☐ AOC checked Alert ID, if any: _____ Review Staff Initial: _____

Joint Applicant:

☐ AOC checked Alert ID, if any: _____ Review Staff Initial: _____

Account Opening Approval

Signature of Review Officer (Sign No. _____) Name _____ Position _____ Date _____