



恒生銀行  
HANG SENG BANK



## 客戶確認 – 接受介紹及發售零售銀行專業投資者適用之投資產品

### Customer Acknowledgement - Accept Introduction and Offering of Investment Products for Retail Banking Professional Investor

致：恒生銀行有限公司（「貴行」）  
To: Hang Seng Bank Limited (the "Bank")

日期(日/月/年)  
Date(DD/MM/YY)

請用正楷填寫，並在適當方格內加上“√”，填妥表格後交回本銀行任何一間分行。

Please complete in BLOCK LETTERS, "√" where appropriate and return the completed form to any of our branches.

#### 甲部 Part A – 客戶資料及指示 Customer Information and Instruction

客戶名稱  
Name of Customer

身份證/護照號碼  
Identity Card / Passport No.

- ☐ 1. 本人要求及同意，在本人符合「專業投資者」(根據證券及期貨條例之定義)(「專業投資者」)之定義的情況下，貴行可不時向本人介紹及/或發售貴行可向專業投資者介紹及/或發售之產品(專業投資者產品)，可包括未經證券及期貨事務監察委員會(「證監會」)認可之投資產品。  
I request and agree that as long as I fall within the definition of "Professional Investor" (as defined under the Securities and Futures Ordinance) ("Professional Investor"), the Bank can from time to time introduce and / or offer me products which the Bank may introduce and / or offer to Professional Investors only ("PI Products"), which may include investment products that have not been authorised by the Securities and Futures Commission (the "SFC").
- ☐ 2. 本人不欲貴行向本人介紹及/或發售任何專業投資者產品。  
I do not wish the Bank to introduce and / or offer me any PI Products.

#### 乙部 Part B – 聲明及簽署 Declaration & Signature

以下聲明只適用於本人選擇以上項目1。

The following declarations only apply when I chose item 1 above.

本人明白及確認 I understand and confirm that: -

- 在本人符合「專業投資者」的定義的情況下，貴行可不時向本人介紹及/或發售專業投資者產品，可包括未經證監會認可之投資產品；  
as long as I fall within the definition of "Professional Investor", the Bank may from time to time introduce and / or offer me PI Products, which may include investment products that have not been authorised by SFC;
- 貴行會不時檢視本人是否符合專業投資者的資格；如貴行認為本人已不再符合為專業投資者，貴行將終止本人專業投資者的資格及停止向本人介紹及/或發售專業投資者產品，而毋須另行通知；  
the Bank will review whether I qualify as a Professional Investor from time to time; if the Bank is of the view that I no longer qualify as a Professional Investor, the Bank will terminate my Professional Investor qualification and cease to introduce and / or offer PI Products to me without further notice;
- 當本人不欲繼續接受貴行介紹及/或發售專業投資者產品予本人，本人將以書面通知貴行；  
if I do not wish the Bank to continue to introduce and / or offer PI Products to me, I shall inform the Bank by written notice;
- 貴行並沒有責任主動向本人介紹及/或發售任何投資產品；  
the Bank has no responsibility to proactively introduce and / or offer any investment products to me;
- 本人不會因簽署此文件而承諾/已確認購買任何投資產品；  
I am not committing to / have not confirmed to purchase any investment products by signing this document;
- 此客戶確認並不包括任何投資產品之特性及風險披露。就任何投資產品之特性及風險披露之詳情，本人須參閱有關產品之銷售文件及風險披露；  
this Customer Acknowledgement does not include any investment products' features and risk disclosure. For the details of any investment products' features and risk disclosure, I should refer to the offering documents and risk disclosure of the relevant product;
- 所有投資產品均涉及風險，不同投資產品之風險將有所不同。特別是只發售予專業投資者的投資產品或會相對可發售予一般零售投資者的投資產品有更多或更高風險。本人承諾於進行有關產品之交易前，會閱讀及理解有關產品之銷售文件及風險披露，並考慮這些交易之性質、條款及風險，及本人是否適合投資於有關產品。  
all investment products involve risks and the risks for different investment product will be different. In particular, investment products that are offered to Professional Investors only may carry additional risk or may be of higher risk than investment products that can be offered to retail investors generally. I undertake that I will read and understand the offering documents and risk disclosure of the relevant product before entering into any transaction in the relevant product, and will consider the nature, terms and risks of such transaction and the suitability of my investment in the relevant product.

客戶簽署 Signature of Customer

S.V.

X

請用留存本行之印鑑簽署 Please use signature(s) / chop(s) filed with the Bank

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<b>錄音紀錄Audio Record (如適用) (if applicable)</b>				
錄音日期Recording Date:			錄音時間Recording Time:	
錄音電話內線號碼Telephone Extension No. for Recording:				
<b>一次性手機短訊驗證碼SMS OTP (如適用) (if applicable)</b>				
日期 Date:	時間 Time:	Workstation No.	Code	Checker's Signature
<b>Zoom (如適用) (if applicable)</b>				
日期 Date:	時間 Time:	Zoom Meeting ID	Host Staff Name	

<b>只供銀行使用 For Bank Use Only</b>			
<b>For Transaction Staff</b>	Transaction Branch Code		HKMA Registration No.
	Staff Name		Staff Signature
	Staff ID		
<b>For Approval Staff</b>	Staff Name	Staff ID	<input type="checkbox"/> Approved <input type="checkbox"/> Rejected
<b>For Mail-In / Fax-In Application Only</b>	Date of Documents received		
<b>For Deregistration Only</b>	Deregistration Date and Time:		
	Handling Branch Code		Handling Staff Signature
	Handling Staff Name		
	Handling Staff ID		
	Approval Staff Name		Staff ID
Remark			