

# HSBC Bank (Singapore) Limited Securities Margin Financing Application Form

**Important**

- All applications must be HSBC Jade customers, between 21 – 61 years of age
- Residents of Singapore and residents of countries where offshore lending is permitted. Please refer to the Securities Margin Financing Product Sheet for the list of persons who are not eligible to apply. Alternatively, please obtain an updated list of eligible persons from an authorized HSBC sales staff.
- Securities Margin Accounts must be in SGD and / or USD. The default ceiling limits are indicated below.
- Customer must open a corresponding Securities Margin Investment Account in the same name and in the same currency as a Securities Margin Account.
- Securities Margin Financing is only suitable for customers who have a speculative investment risk attitude.
- Customer must have knowledge of and/or experience in products similar to Securities Margin Financing.
- Customer must have a valid email address and mobile number as notifications will be sent via SMS and/or email when there is a Margin Call.
- Your request is subject to the approval of HSBC Bank (Singapore) Limited ("HSBC") who reserves the right to request for additional documents, where necessary, at any time during the application process.

**Financing Requirements**

I/We intend to purchase

Name of Fund	Fund Code	Currency	Gross investment Amount	Front End Load

Please refer to the Unit Trust Instruction Form attached to this Securities Margin Financing Application Form which I/we have signed.

My/our Own Cash amount for the above purchase is \_\_\_\_\_.

I/We would like to apply for a Securities Margin Financing facility of

- SGD \_\_\_\_\_
- USD \_\_\_\_\_ or
- up to the maximum applicable limit for the purpose of financing or part-financing the abovementioned investments.

I/We note that (i) the aggregate Ceiling Limit for both SGD and USD Loans combined is USD4million. (ii) the Bank may change the ceiling limit at any time in its absolute discretion and (iii) clause 6.2 of the Terms and Conditions for Securities Margin Financing will apply to the calculation of the Loan(s) to me/us.

**Personal Particulars**

**Full Name** (as in NRIC/Passport)

Title  Dr  Mr  Mrs  Ms  Mdm

**Last Name/Surname** \_\_\_\_\_ **First/Given Name** \_\_\_\_\_

**Former/Other Name** (documentary proof is required eg. deed poll) \_\_\_\_\_

**Gender**  Male  Female **Date of Birth (DD/MM/YYYY)**   /   /

**Country of Birth** \_\_\_\_\_

**NRIC/Passport no.** \_\_\_\_\_ **Passport Country of Issue** \_\_\_\_\_

**Issue Date (DD/MM/YYYY)**   /   /

**Passport Expiry Date (DD/MM/YYYY)**   /   /

**Nationality(ies)** (please list all) Nationality 1 \_\_\_\_\_

Nationality 2 \_\_\_\_\_ Nationality 3 \_\_\_\_\_

**Residency Status**  Singapore Resident  
 Non-resident, assets/funds held in \_\_\_\_\_ (country/ies)

**Educational Level**  Primary  Secondary/Post Secondary  
 Vocational/Technical  University/Tertiary  
 Postgraduate

**Marital Status**  Single  Married  Divorced  Widowed

**No. of Dependents** \_\_\_\_\_

**Joint Applicant**

**Full Name** (as in NRIC/Passport)

Title  Dr  Mr  Mrs  Ms  Mdm

**Last Name/Surname** \_\_\_\_\_ **First/Given Name** \_\_\_\_\_

**Former/Other Name** (documentary proof is required eg. deed poll) \_\_\_\_\_

**Gender**  Male  Female **Date of Birth (DD/MM/YYYY)**   /   /

**Country of Birth** \_\_\_\_\_

**NRIC/Passport no.** \_\_\_\_\_ **Passport Country of Issue** \_\_\_\_\_

**Issue Date (DD/MM/YYYY)**   /   /

**Passport Expiry Date (DD/MM/YYYY)**   /   /

**Nationality(ies)** (please list all) Nationality 1 \_\_\_\_\_

Nationality 2 \_\_\_\_\_ Nationality 3 \_\_\_\_\_

**Residency Status**  Singapore Resident  
 Non-resident, assets/funds held in \_\_\_\_\_ (country/ies)

**Educational Level**  Primary  Secondary/Post Secondary  
 Vocational/Technical  University/Tertiary  
 Postgraduate

**Marital Status**  Single  Married  Divorced  Widowed

**No. of Dependents** \_\_\_\_\_

Please initial  
Main \_\_\_\_\_ Joint \_\_\_\_\_



**Declaration/Agreement by each Applicant**

- 1. I hereby declare that I am transacting for my own account and not on behalf of any other person or entity.
- 2. I confirm that I have received, read and understood the Securities Margin Financing Product Sheet and the Risk Disclosure statement in Appendix 1 to the Terms and Conditions for Securities Margin Financing ("the Risk Disclosure"). I understand the product features and risks described therein.
- 3. I confirm that I have received, read and understood the Terms and Conditions for Securities Margin Financing and the List of Eligible Unit Trusts (the "Securities List") and agree to be bound by the same.
- 4. I agree to be bound by the terms and conditions governing personal deposit accounts and all terms and conditions in the investment account opening booklet, copies of which have been made available at any branch of HSBC or at [www.hsbc.com.sg](http://www.hsbc.com.sg). I further agree that all reference to "Account Documentation" in the terms and conditions in the investment account opening booklet shall apply to this Securities Margin Application Form and the Terms and Conditions for Securities Margin Financing.

- 5.
- For execution only customers**
- I confirm that I approached the Bank to apply for Securities Margin Financing and that I have not received any advice, suggestions or guidance from the Bank relating to the Securities Margin Financing detailed above. I further confirm that I have independently considered Securities Margin Financing to be suitable for me and that the Securities Margin Financing application I have decided to make is being made at my volition and at my own risk having read and understood all relevant product literature. I acknowledge and understand that the granting of the Securities Margin Financing by the Bank to me is not in any way a confirmation or an endorsement from the Bank that Securities Margin Financing is suitable for me.
- For advised customers**
- I confirm that the Bank has not provided any tax or legal advice to me. I further confirm that I have independently considered the above product to be suitable for me and that the Securities Margin Financing application I have decided to make is being made at my volition and at my own risk having read and understood all relevant product literature. I acknowledge and understand that the granting of the Securities Margin Financing by the Bank to me is not in any way a confirmation or an endorsement from the Bank that Securities Margin Financing is suitable for me.

Please confirm the statement by initialing below:

\_\_\_\_\_

Main Applicant

\_\_\_\_\_

Joint Applicant

\_\_\_\_\_

- 6. I confirm and declare that I am not a citizen and/or resident of the countries (including but not limited to the US and Canada) which, under the Securities Margin Financing Product Sheet, is not permitted to apply for Securities Margin Financing. If I become a citizen and/or a resident of those countries, (i) I undertake to inform the Bank immediately, (ii) I understand that the Bank will not be able to provide the Securities Margin Financing facility and (iii) I agree that the Bank may terminate the Securities Margin Financing by notice to me with immediate effect in accordance with, and with the consequences set out in, the Terms and Conditions for Securities Margin Financing.
- 7. I confirm that I am not an undischarged bankrupt and there has been no Statutory Demand served on me (whether individual or corporate) and no legal proceeding commenced against me at the time of this application. I understand that approval of this application or any part hereof is at HSBC's sole discretion and HSBC is not obliged to give any reasons for rejecting any of the same.
- 8. I declare that the information given in this application is true and complete, and authorise HSBC to confirm this from whatever source you may choose.
- 9. I authorise (i) HSBC and its officers to obtain any and all information relating to me, my personal particulars, my accounts (save for deposit information), transactions between me and you, my facilities, credit standing and financial position from any credit bureau of which HSBC is a member or subscriber and consent to such credit bureau disclosing the above information about me to HSBC, to enable you to assess my creditworthiness as a borrower or surety; and (ii) the credit bureau to disclose information about me obtained from HSBC to its members or subscribers to enable them to assess my creditworthiness as borrower surety. This consent shall be in addition to and shall not be in any way prejudiced or affected by any other agreement, expressed or implied, between me and HSBC in relation to the disclosure of any information referred to herein and/or any other information.
- 10. I understand and agree that approval of the Securities Margin Financing facility and the facility limit is based on the type and value of the investment products charged. The Bank may adjust the facility limit &/or the Margin Ratio(s) at its discretion. I understand that I may obtain the updated list of prevailing Margin Ratio(s) from an authorized HSBC sales staff
- 11. I understand and agree that the Securities Margin Financing facility is subject to HSBC's periodic review and customary overriding right of repayment and/or withdrawal on demand.
- 12. I understand the Securities Margin Financing Facility is only available if I open and maintain a Securities Margin Investment Account (878). Securities held by HSBC as security for the Securities Margin Financing Facility is to be held in this Securities Margin Investment Account (878).

- 13. I confirm our agreement to charge, pledge and assign all cash deposit held from time to time in the Securities Margin account and all assets held from time to time in the Securities Margin Investment Account (878) to the Bank as continuing securities for my/our indebtedness and other obligations and liabilities to the Bank under the Securities Margin Financing Facility in accordance with the Terms and Conditions for Securities Margin Financing.
- 14. I understand and accept the risks associated with not being able to receive margin calls if (i) I have not provided, or failed to maintain at any time, a valid mobile phone number or valid email address that is notified to, and accepted by, the Bank from time to time for the purpose of receiving margin calls by way of SMS or email sent by the Bank.
- 15. In circumstances where the Portfolio Margin Ratio has reached the relevant threshold set by the Bank from time to time in accordance with the Terms and Conditions for Securities Margin Financing, in particular, in the Risk Disclosure section, I may receive a margin call notification from the Bank requesting me to settle the shortfall.
- 16. I acknowledge and understand that I have an obligation to settle the shortfall and lower the Portfolio Margin Ratio to 100% or less (or such other level set by the Bank from time to time in accordance with the Terms and Conditions for Securities Margin Financing) within the prescribed period. If the shortfall is not settled within the prescribed period or the Portfolio Margin Ratio has reached the relevant threshold set by the Bank from time to time in accordance with the Terms and Conditions for Securities Margin Financing, the Bank has the right to force liquidate all or part of the collateral to settle the shortfall amount irrespective of whether a margin call notification have been delivered to me.

Please confirm the statement by initialing below:

\_\_\_\_\_

Main Applicant

\_\_\_\_\_

Joint Applicant

\_\_\_\_\_

- 17. I undertake to inform the Bank of any change in tax residency within 30 days and to provide a suitably updated Self-Certification Form within 90 days, of such change.
- 18. I understand that I am responsible for ensuring compliance with the laws and regulations of my nationality and country of residence to allow the acceptance of the Securities Margin Financing Facility and the continuation of the Securities Margin Financing Facility throughout the term of such Facility.
- 19. I understand that the Bank does not accept liability for any tax implications that may arise in this connection under the laws of any country other than Singapore. I understand and agree that if there is any change in my tax residency such that it no longer becomes prudent, lawful or commercially viable for the Bank to continue to make the Securities Margin Financing Facility available to me, the Bank may terminate the Securities Margin Financing facility by notice to me in accordance with, and with the consequences set out in, the Terms and Conditions for Securities Margin Financing.
- 20. By signing hereunder, I consent to HSBC, its agents and authorised service providers as well as relevant third parties, collecting, using and disclosing the personal data which I may provide to HSBC from time to time in the course of my relationship and in connection with the products and/or services provided by HSBC to me, for purposes reasonably required by HSBC to provide the products and/or services which I may apply or request for.
- These purposes are set out in the prevailing HSBC Data Protection Policy (as may be amended from time to time), which may be found at HSBC website. I understand that I may request that the relevant section of the Data Protection Policy be provided to me for my perusal prior to signing.
- 21. I understand that the Data Protection Policy forms a part of the terms and conditions governing my relationship with HSBC and should be read in conjunction with such terms and conditions. I confirm I have read and understood the Data Protection Policy.
- 22. Where the personal data I provide in this form was/is collected by me or from third party sources, I confirm and agree that:
  - a. the relevant consents for the purposes notified in the Data Protection Policy have been procured by me from all relevant individuals to whom the personal data relates; and
  - b. I will provide all relevant individuals with copies of the Data Protection Policy for their perusal.

**Signature of Main Applicant**

\_\_\_\_\_

(SV)

Date \_\_\_\_\_

**Signature of Joint Applicant**

\_\_\_\_\_

(SV)

Date \_\_\_\_\_

## Securities Margin Account Opening Form

### Choose the Securities Margin Account You Would Like to Open

(Please tick (✓) where applicable)

#### Securities Margin Account (HBSP or ACUL Group: Current A/C- CA7)

Product Code CA7

SGD  USD

Indicate below whether you are making a sole or joint application and complete appropriate section as indicated.

Account signature requirement;  Singly  Jointly  Others

Main Application (Please indicate the Name and NRIC/Passport no. of Account holder below)

Name: \_\_\_\_\_

NRIC/Passport no. \_\_\_\_\_

Joint Application (Please indicate the Name and NRIC/Passport no. of Account holder(s) below)

Name: \_\_\_\_\_

NRIC/Passport no. \_\_\_\_\_

### My/Our Banking Relationship

#### Purpose of Account(s)

- Personal/Household Expenses  Savings and Wealth Accumulation  
 Salary Crediting  Loan Servicing  
 Others, please specify: \_\_\_\_\_

#### Regular Cash Transactions

	Credits	Debits
Approximate Value of Transactions (S\$/month)	<input type="text"/>	<input type="text"/>
Approximate Volume/Month	<input type="text"/>	<input type="text"/>
Purpose of Transactions _____		

#### Regular International Payments

	Credits	Debits
Approximate Value of Payments (S\$/month)	<input type="text"/>	<input type="text"/>
Number of Payments/Month	<input type="text"/>	<input type="text"/>
Purpose of receiving payments and from which country _____		
Purpose of making payments and to which country _____		

#### Source of Funds

Initial Deposit Amount S\$ \_\_\_\_\_

Cash, source/from \_\_\_\_\_  Cheque

Internal Transfer from \_\_\_\_\_ (HSBC Account No.)

Funds Transfer from \_\_\_\_\_ (bank) in \_\_\_\_\_ (country)

Total Average Holdings in the Next 12 Months S\$ \_\_\_\_\_

Source of Ongoing Funding \_\_\_\_\_

If ongoing funds are from **third party**, please complete the following

Full Name \_\_\_\_\_ Date of Birth \_\_\_\_\_

Nationality \_\_\_\_\_ Country/City of Residence \_\_\_\_\_

Rationale of Funding Arrangement \_\_\_\_\_

Relationship to Account Holder \_\_\_\_\_

### My/Our Account Services

#### Online and Mobile Banking

For Existing Online and Mobile Banking Users:

You will be able to access your new account through your Online and Mobile Banking.

For New Online and Mobile Banking Applicants:

You can register to access our full range of Online and Mobile Banking services. The Digital Secure Key feature in the HSBC Singapore app allows you to generate security codes for accessing online banking services, and is a digital version of the physical Security Device.

^[Optional] I/We would like to opt out of using a Digital Secure Key and would like to request for a physical Security Device to access these services.

Applicant 1  Applicant 2

^ A physical Security Device is only recommended for customers who do not own smartphones.

#### Phone Banking

In order to serve you better, you will be offered Phone Banking services.

To opt out of Phone Banking service or request for a new Phone Banking PIN, please contact our Phone Banking hotline 1800-HSBC NOW (4722 669) in Singapore or (65) 6-HSBC NOW (4722 669) from overseas.

For Existing Phone Banking Users:

I/We would like to reactivate my/our existing Phone Banking account

Applicant 1  Applicant 2

#### Receive your sole-named bank and loan account (where applicable) statements directly via email

For your convenience, a password-protected PDF copy of your sole-named bank and loan account (where applicable) statements will be sent to your email address provided in this form\*. Joint accounts will only receive paper statements sent to the Main Applicant's mailing address.

E-mail statement opt-out. Please send paper statements to the Main Applicant's mailing address.

\*If the e-mail statements are undelivered, paper statements will be sent to the Main Applicant's mailing address.

Please initial

Main \_\_\_\_\_ Joint \_\_\_\_\_

## Prominent Public Position\* Declaration

### For Main Applicant :

- I am/was holding a prominent public position\*.  
If yes, please provide details \_\_\_\_\_
- I am a family member or close associate\* of someone who is/was (a) holding a prominent public position\* and/or (b) an HSBC staff/director.  
If yes, please provide details \_\_\_\_\_

### For Joint Applicant :

- I am/was holding a prominent public position\*.  
If yes, please provide details \_\_\_\_\_
- I am a family member or close associate\* of someone who is/was (a) holding a prominent public position\* and/or (b) an HSBC staff/director.  
If yes, please provide details \_\_\_\_\_

\*Prominent public position means: senior positions in the executive, legislative, administrative, military, judicial branches of a government, government agency, government-owned corporation or member of a ruling royal family or senior official of a major political party. Family member means: parent, spouse, child, sibling, in-laws, and includes any adopted family member. Close associate is a person who is widely and publicly known to maintain close relationship with you and who is able to conduct financial transactions on your behalf.

## Deposit Insurance and Policy Owners' Protection Schemes Act

Deposit Insurance Scheme: Singapore dollar deposits of non-bank depositors are insured by the Singapore Deposit Insurance Corporation, for up to S\$75,000 in aggregate per depositor per Scheme member by law. Foreign currency deposits, dual currency investments, structured deposits and other investment products are not insured.

## Declaration/Agreement by each Applicant

**General**  
I/We declare that the information given in this application is correct and complete. I/We authorise you to confirm this from any source and you have the discretion to request for my/our documents evidencing my/our income.

I/We am/are not an undischarged bankrupt(s) and that there has been no Statutory Demand served on me/us and no legal proceedings commenced against me/us at the time of this application. I/We understand that approval of this application or any part hereof is at your sole discretion and you are not obliged to give any reasons for rejecting any of the same.

I/We understand there will be no ATM card or Cheque book issued for the Securities Margin account. Any cash held in this account may only be withdrawn with the Bank's prior written approval.

I/We understand no interest is payable on the deposits or credit balances in the Securities Margin accounts.

I/We understand and agree that all cash deposits held in the Securities Margin account are charged to the Bank as security for the Securities Margin Financing Facility.

I/We agree to be bound by the terms and conditions governing personal deposit accounts and (as applicable) the HSBC Premier Terms and Conditions or the HSBC Jade Terms and Conditions. Where we have applied for phonebanking and/or online and mobile banking, I/we agree to be bound by the relevant terms and conditions. Copies of all terms and conditions mentioned above are available at any branch of HSBC or at [www.hsbc.com.sg](http://www.hsbc.com.sg).

I/We hereby authorise you to accept, rely upon, act in accordance or comply with from time to time applications forwarded by electronic means for you to make fund transfers from my/our account to or in favour of parties specified in the applications, provided always that such funds transfer shall be subject to the Bank's approval.

I/We am/are aware of and accept the possible risks involved in connection with the giving of any instructions electronically. I/We undertake to keep you indemnified at all times against, and to save you harmless from all actions, proceedings, claims, loss, damage, costs and expense which may be brought against you or suffered or incurred by you and which shall have arisen either directly or indirectly out of or in connection with your accepting such electronically submitted instructions from me/us and acting thereon.

Further to my/our request to open a demand deposit account (each known as an "Account") in Singapore dollars or in any foreign currency denomination offered by HSBC, as the case may be, I/we hereby undertake the following:

- I/We acknowledge and agree that it is my/our responsibility to ensure that all relevant approval(s) (if any) has/have been obtained from the relevant authorities or government bodies based on any applicable laws, regulations, governmental measures or restrictions of any relevant country, as the case may be before I/we open any account with HSBC.
- I/We shall abide by any applicable laws and regulations imposed from time to time by my/our country of residence which include, but are not limited to, any foreign exchange control related laws and regulations.
- I/We accept and will not under any circumstance hold HSBC responsible for the rejection of any banking transaction(s) relating to my/our account as a result of any foreign exchange control related laws or regulations in any relevant country, as the case may be.
- I/We accept that HSBC has the right to close off my/our account at any point without notice if HSBC has reason to believe that I/we am/are not in compliance with any foreign exchange control related laws or regulations based on my/our nationality or country of residence, as the case may be.
- I/We will keep HSBC indemnified at all times against all actions, proceedings, claims, losses, damages, costs and expenses which may be brought against or incurred by HSBC as a result of any breach by me/us of the above.

I/We understand that the information supplied by me/us is covered by the full provisions of the terms and conditions governing my/our relationship with HSBC setting out how HSBC may use and share the information supplied by me/us.

I/We acknowledge that the information contained in this form and information regarding me/us and any Reportable Account(s) may be provided to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which I/we may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

I/We undertake to advise HSBC within 30 days of any change in circumstances which affects the tax residency status of me/us identified in this form or causes the information contained herein to become incorrect, and to provide HSBC with a suitably updated Self-Certification Form within 90 days of such change in circumstances.

### Consent to the use of Personal Data

I/We confirm that my/our consent to the use of personal data as given in the Declaration section on page 3 applies to the personal data provided on page 4 as well.

### Wire Transfer

Under the rules introduced by the Monetary Authority of Singapore in relation to the prevention of money laundering and the countering of terrorist financing, wire transfer messages relating to certain wire transfers initiated by any bank in Singapore on behalf of a customer must, include certain prescribed information including, in addition to the customer's name and account number, their address or their unique identification number or their date and place of birth.

In response to these rules, all wire transfer messages relating to wire transfers effected on behalf of our customers will include the customer's name, account number and address held in our records. By initiating a wire transfer through the Bank, a customer will be deemed to have consented to the inclusion of these or any alternative details referred to in the new rules in the wire transfer message.

### Signature of Main Applicant

\_\_\_\_\_ (SV)

Date \_\_\_\_\_

### Signature of Joint Applicant

\_\_\_\_\_ (SV)

Date \_\_\_\_\_

### For Bank use only

Marketing Recruitment   
Source Code

Approved by   
Date account opened   
Customer No.   
HSBC Premier Account No.

To GSC: 1. Add Restriction type: **6** 2. Add Restriction Reason : **CA7 Lien Ac** 3. Add SPI Refer Type/Sub Type : Type **[(D) -Dec 2050 / (P)Payments]** 4. Add Expiry Date :5. Add SPI Narrative : **Lien ac- approval from Mtg Buz Svs, else reject**

Line Manager Approval for physical Security Device Issuance (GCB6 and above):

# HSBC Bank (Singapore) Limited Securities Margin Investment Account Opening Form

## Account Opening Information

(Please tick (✓) where applicable)

Type of account(s)  Single  Joint

Account Category  Securities Margin Investment Account (-878)

I/We request you to open an investment account known as the Securities Margin Investment Account in my/our name as I/we would like to apply for a Securities Margin Financing facility that will be fully or partially secured by such cash / assets (investments) that the Bank agrees to finance the purchase of. Such investments will be made in accordance with the Account Documentation and applicable Product Conditions and will be deposited into the Account opened for the purpose of the Securities Margin Financing facility.

^You can check if your personal particulars are updated by logging on to your online and mobile banking or you can contact your financial consultant to assist you on the same.

## Declarations/Agreement by each Applicant

- 1) I agree to be bound by all terms and conditions in the Investment Account Opening Booklet, a copy of which has been made available at any branch of HSBC or at [www.hsbc.com.sg](http://www.hsbc.com.sg), and I understand that capitalised terms in this form shall, unless otherwise defined in this form, have their meanings as defined therein.
- 2) I agree that the Account shall be subject to the terms and conditions contained in the Account Documentation and applicable Product Conditions. In the event of a conflict or inconsistency between the provisions of the Account Documentation and the Product Conditions, the Product Conditions shall (unless expressly set out to the contrary in the Account Documentation) prevail to the extent of the conflict or inconsistency.
- 3) I hereby declare that I am transacting for my own account and not on behalf of any other person or entity.
- 4) I understand and agree that all assets (investments) held in the Account (878) are charged to the Bank as security for the Securities Margin Financing Facility.
- 5) By providing the information set out in this form and signing hereunder, I consent to the collection, use and disclosure of the personal data provided in this form by HSBC Bank (Singapore) Limited ("HSBC" or the "Bank"), its agents and authorised service providers as well as relevant third parties, for purposes reasonably required by HSBC to provide the products or services which I am applying for. These purposes are set out in HSBC's prevailing Data Protection Policy (as may be amended from time to time), which may be found at HSBC's website <https://www.hsbc.com.sg/privacy-statement>. I understand that I may request that the relevant section of the Data Protection Policy to be provided to me for my perusal prior to signing.  
I understand that the Data Protection Policy forms a part of the terms and conditions governing my relationship with you (including without limitation, the Account Documentation and the Product Conditions) and should be read in conjunction with the same. I confirm I have read and understood the Data Protection Policy.
- 6) I acknowledge that the information contained in this form and information regarding me and any Reportable Account(s) may be provided to the tax authorities of the country in which this/these account(s) is/are maintained and exchanged with tax authorities of another country or countries in which I may be tax resident, pursuant to intergovernmental agreements to exchange financial account information.
- 7) I undertake to advise HSBC within 30 days of any change in circumstances which affects the tax residency status of this form or causes the information contained herein to become incorrect, and to provide HSBC with a suitably updated Self-Certification Form within 90 days of such change in circumstances.
- 8) I hereby acknowledge and consent to you, for the purposes of the safe custody of my assets denominated in a foreign currency, maintaining such assets in a custody account with a custodian outside Singapore which is licensed, registered or authorised to act as a custodian in the country or territory where that custody account is maintained.
- 9) I represent and warrant that the information provided by me in this account opening form and all statements in this declaration are complete and correct. I further confirm that I was given the opportunity to consult my professional advisors before signing.
- 10) I understand that I can request for advice regarding a Specified Investment Product (as defined in the Customer Profile Form) at any time, unless I have consented to being treated by you as an accredited investor (as defined in the Securities and Futures Act, Chapter 289 of Singapore and the Securities and Futures (Classes of Investors) Regulations 2018) and have not withdrawn such consent, or I am not an individual or I are not resident in Singapore.
- 11) I agree that any Instructions given by me using Electronic Equipment or Verbal Instructions will be governed by the Account Documentation including clause 1 (Communications and Instructions) of the General Terms and Conditions for Investment Accounts.

### Signature of Main Applicant

SV

Date \_\_\_\_\_

### Signature of Joint Applicant

SV

Date \_\_\_\_\_

**For Bank use only**

Staff name and ID:

For SD:  
Product Type:

Investment account no.:  
(For Securities Margin Financing only)

Authorised by \_\_\_\_\_ Verified by: \_\_\_\_\_

The following items must be checked for opening a new Securities Margin Account:

- HSBC Jade Customer
- Non-PVC:-
  - Customer aged 62 and above
  - Cognitive impairment impacting financial matters
  - Impacting financial matters
  - Serious ill health
  - Major life changing events
  - Limited local language ability / illiteracy
  - Fraud coercion
- Customer Age 21-61 years
- Related Parties – MAS643
- Knowledge and Experience Questionnaire Checked and Collected
- RPQ 5
- Non-HSBC Staff
- Passed CKA (do not proceed if customer fails CKA)
- Passed SMF K& E (do not proceed, if customer fails K&E )

Line Manager Approval for physical Security Device Issuance (GCB6 and above):