

# Hang Seng Business e-Banking User Guide

## Securities Account Activation on Mobile App

### Important Reminder


Only **Primary User** of the Hang Seng Business e-Banking **Principal Company** profile can apply for the Securities/Investment Funds account activation.

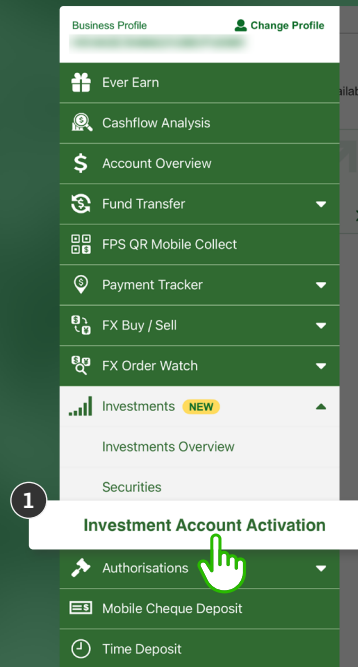
Before activation, please ensure that the Primary User has a valid e-mail address and mobile phone number to receive e-mail and SMS. These details can be updated in the web version of Business e-Banking under **Customer Services > Contact Information**.

If you are unable to proceed with the account activation, please contact your Relationship Manager or call our Customer Service Representatives at (852) 2198 8000.

## Steps for Activating Securities Account

### STEP 1 Select and Open the Function

Tap  **Investment > Investment Account Activation** from the side menu after logging in to the **Hang Seng Business Mobile App**.



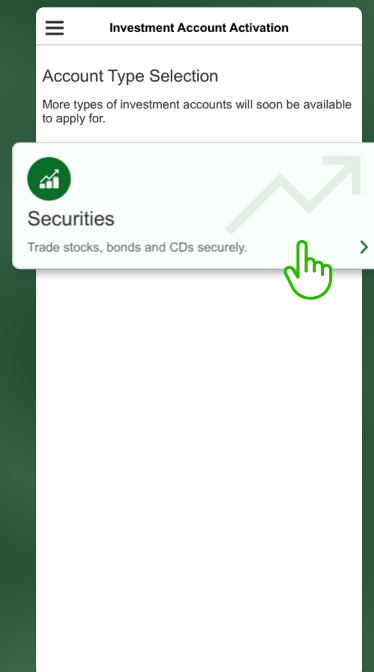
# Hang Seng Business e-Banking User Guide

## Securities Account Activation on Mobile App

### Steps for Activating Securities Account

#### STEP 2 Activate Securities Account

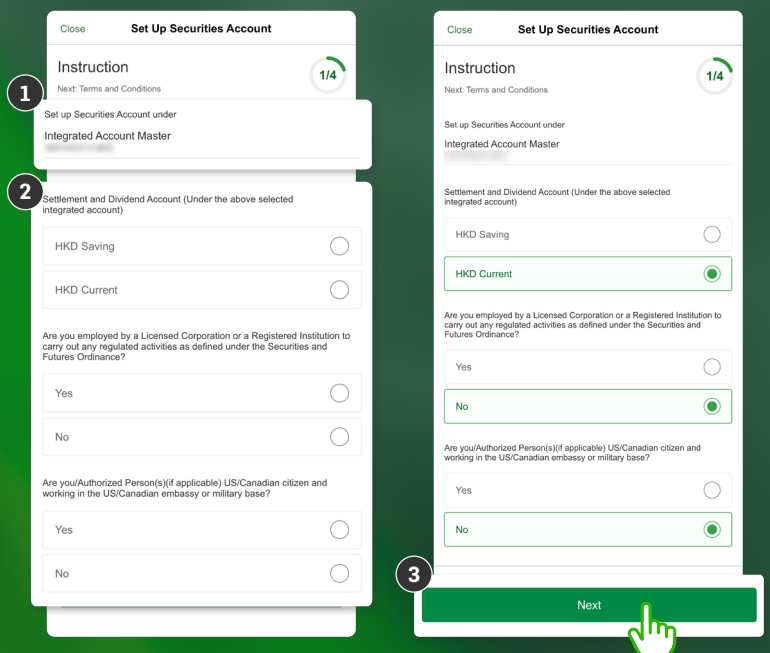
Tap **Securities** to activate Securities Account.



#### STEP 3 Provide the Details

- 1 Select an Integrated Business Solutions Account to open a Securities Account.
- 2 Select the applicable answers.
- 3 Tap **Next** to continue.

**\*Note:**  
Only Integrated Business Solutions (IBS) Account(s) under the Principal Company can be selected.



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### Steps for Activating Securities Account

#### STEP 4 Read the Declaration

- 1 Scroll down and read the first declaration carefully.
- 2 Tap **Confirm** if you agree with it.
- 3 Scroll down and read the second declaration carefully.
- 4 Tap **Confirm** if you agree with it.

If you have not previously submitted the Risk Profiling Questionnaire, or if it has expired, please go to [Step 5](#).

If you have already submitted Risk Profiling Questionnaire, please go to [Step 7](#).

#### First Declaration

Close Set Up Securities Account

Terms and Conditions 2/4

Next: HKIDR, OTGR and FINI

**1 Section A**

**Terms and Risk**

**Derivative Products Traded on Hong Kong Exchanges and Clearing Limited and Overseas Exchanges and Relevant Risks**

If customers wish to trade the derivative products mentioned below, you should read carefully and understand the nature, terms and risks of the relevant products/trades.

**Derivative Warrants ("DWs")**

- DWs are issued by a third party, usually an investment bank, who is independent of the issuer of the underlying assets. Derivative warrant traded in Hong Kong/Overseas market is likely to have a unique expiry date.
- DWs are an instrument that gives an investor the right to buy or sell an underlying asset at a pre-set price prior to a specified expiry date. DWs may be bought and sold prior to their expiry in the market. At expiry settlement is made in cash rather than a purchase or sale of the underlying asset. DWs are generally divided into two types: calls and puts. Holders of call warrants have the right, but not obligation, to purchase from the warrant issuer a given amount of the underlying asset at a predetermined price (also known as the exercise price) within a certain time period. Conversely, holders of put warrants have the right, but not obligation, to sell to the warrant issuer a given amount of the underlying asset at a predetermined price within a certain time period.

**Inline Warrants ("IW")**

- IWs are issued by a third party, usually an investment bank,

Back Confirm

Close Set Up Securities Account

**Intraday investment risk:**

Leverage factor of L&I Products may change during a trading day when the market moves but it will not be rebalanced until day end. The L&I Product's return during a trading day may be greater or less than the leveraged/opposite return of the underlying asset.

**Concentration Risk:**

An L&I Product may be subject to concentration risk as a result of tracking the performance, the inverse performance or the leveraged performance (as the case may be) of a single geographical region or a single underlying asset. Such a product is likely to be more volatile and more susceptible to fluctuations in value resulting from adverse conditions (where the relevant product tracks the performance or leveraged performance of the relevant index or underlying asset) or positive conditions (where the relevant product tracks the inverse performance of the relevant index or underlying asset) in the relevant region or in respect of the relevant underlying asset.

**Trading risk for Inline Warrant:**

Trading IW below the Minimum Fixed Payment at Expiry or above the Maximum Fixed Payment at Expiry may not reflect the true value of the IW. In Hong Kong, any inline warrant trades executed at the price above the Maximum Fixed Payment at Expiry will not be recognized and will be cancelled by HKEC.

The above information are based on the information provided on the websites of HKEC, SFC and U.S. Securities and Exchange Commission. For more detailed information regarding derivative products, investors can refer to the websites of HKEC (<http://www.hkex.com.hk>), SFC (<http://www.sfc.hk>) and U.S. Securities and Exchange Commission (<http://www.investor.gov>). [Disclaimer](#)

I acknowledge that I have read and understood the "Derivative Products Traded on Hong Kong Exchanges and Clearing Limited and Overseas Exchanges and Relevant Risks".

Back Confirm

#### Second Declaration

Close Set Up Securities Account

Terms and Conditions 2/4

Next: HKIDR, OTGR and FINI

**3 Section B**

**Risk Disclosure Statements and Customer Declarations**

Please read the following risk disclosure statements. You are advised to ask questions and to take independent advice on the same if you wish to do so. For any enquiries, please [click here](#) for hotline details.

**Risk Disclosure Statements:**

**Risk of Securities Trading**

The prices of securities fluctuate, sometimes dramatically. The price of a security may move up or down, and may become valueless. It is as likely that losses will be incurred rather than profit made as a result of buying or selling securities.

**Risk of Trading Growth Enterprise Market Stocks**

Growth Enterprise Market (GEM) stocks involve a high investment risk. In particular, companies may list on GEM with neither a track record of profitability nor any obligation to forecast future profitability. GEM stocks may be very volatile and illiquid. The Customer should make the decision to invest only after due and careful consideration. The greater risk profile and other characteristics of GEM mean that it is a market more suited to professional and other sophisticated investors. Current information on GEM stocks may only be found on the internet website operated by The Stock Exchange of Hong Kong Limited. GEM Companies are usually not required to issue paid announcements in gazetted newspapers. The Customer should seek independent professional advice if the Customer is

Back Confirm

Close Set Up Securities Account

are in SG at any future time.

I confirm that the Company is not established in the US, CA, or KO and its registered, correspondence and / or business address is / are not in the US, CA, or KO. I also confirm that the Company does not have any branch and / or liaison office in KO.

k). (Applicable only in case of Securities sub-account) I shall be solely responsible for all the taxes and duties arising from trading of overseas securities.

l). (Applicable only in case of Securities sub-account) I am required to settle all payments in relation overseas securities trading in the currency in which the relevant overseas securities is denominated. If my/our settlement account does not have sufficient fund, The Bank reserves right to debit the relevant amount from my/our other accounts maintained with the Bank.

m). (Applicable only in case of Investment Funds Sub-account) I and the Authorised Person(s) (if applicable) am / are not a US citizen. I also confirmed that I and the Authorised Person(s) (if applicable) am / are not acting as agent on behalf of any US citizen. I undertake to notify the Bank immediately if I and the Authorised Person(s) (if applicable) become or is / are deemed to be US citizen at any future time.

n). The Bank reserves the right to reject of Securities Sub-Account activation request.

o). I agree that the Bank shall have the full discretion at any time to give notice to the Account Holder/the Authorised Person(s) to suspend the authority of the Authorised Person(s) to operate the Securities/Investment Funds Sub-Account under the above Business Integrated Account without giving any reason therefor.

p). The above risk disclosure statements were provided to me in a language of my choice (English or Chinese); and I was invited to read the risk disclosure statements, to ask questions and to take independent advice if I wish to do so.

I acknowledge that I have read and understood the "Risk Disclosure Statements" and confirm and agree the content of "Customer Declarations".

Back Confirm

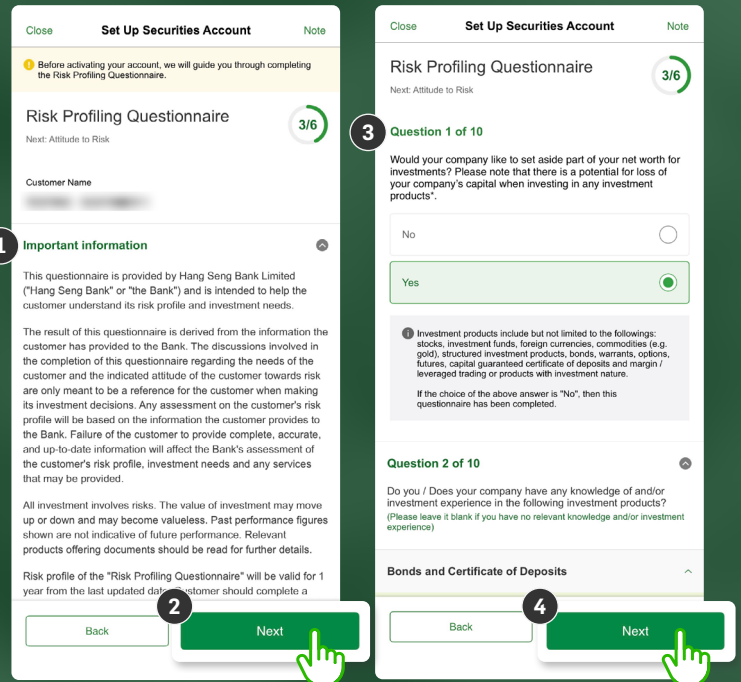
# Hang Seng Business e-Banking User Guide

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### Steps for Activating Securities Account

#### STEP 5 Fill in Risk Profiling Questionnaire

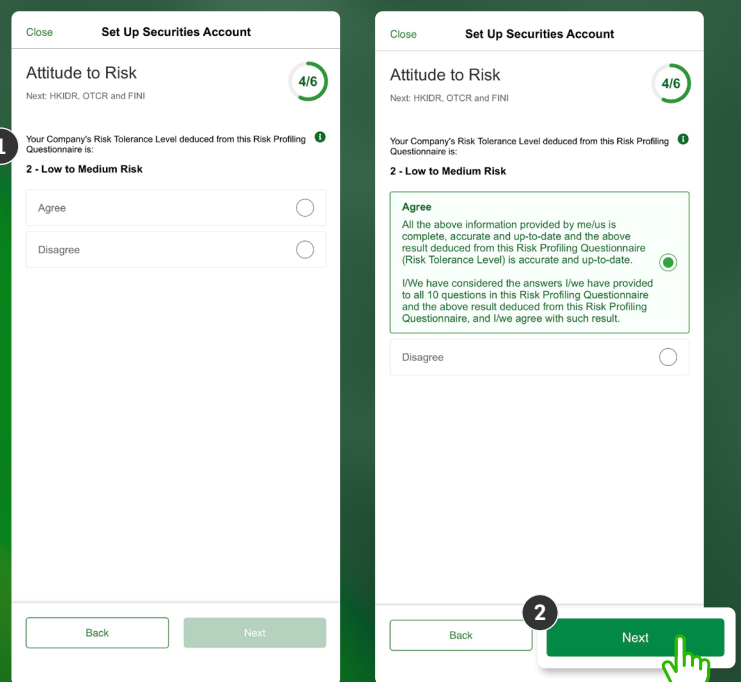
- 1 Read the **Important Information**.
- 2 Tap **Next** to update the questionnaire.
- 3 Complete the questionnaire.
- 4 Tap **Next** to continue.



#### STEP 6 Your Attitude to Risk

- 1 Review your Risk Tolerance Level and select your **Attitude to Risk**.
- 2 Tap **Next** to continue.

\*Note:  
If the Risk Tolerance Level is Zero, this page will not be shown.



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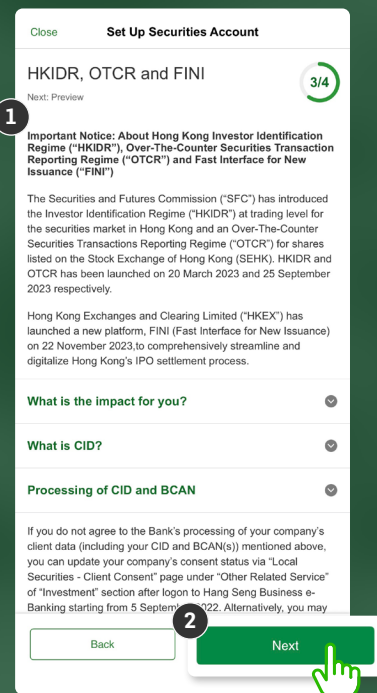
#### STEP 7 Read the Important Notice

1 Read all the information, notices and declarations, including those relating to HKIDR, OTCR and FINI\* (Fast Interface for New Issuance).

2 Tap **Next** to continue.

\*Note:

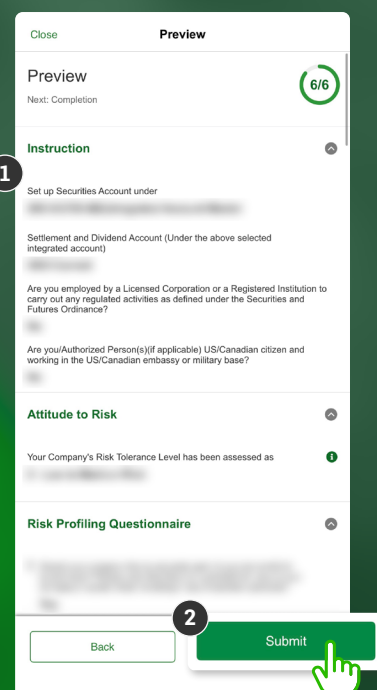
FINI is an IPO settlement platform newly launched by HKEX.



#### STEP 8 Review the Instruction

1 Check and make sure all the details are correct.

2 Tap **Submit**.



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### Steps for Activating Securities Account

#### STEP 9 Completion

You have submitted the instruction successfully. Typically, your Securities Account will be effective **within 2-3 working days**, and the relevant Investment Service e-Alert will be set up automatically by the Bank.

In the meantime, please log in to the web version of Business e-Banking through your desktop or mobile browser, then go to **Investments > Other Related Services > General Knowledge on Derivatives Course** to watch a short video on the features, risks and returns associated with derivative products. This will help ensure smooth access to investment-related functions once your account is activated.

