



Topper Dragon Securities Limited

龍匯證券有限公司

地址：香港上環永樂街 50 號昌盛大廈 8 樓

8/F, CS Tower, 50 Wing Lok Street, Sheung Wan, Hong Kong

電話 Tel: +852 3578 8733 傳真 Fax: +852 3747 0008

開戶表格 (公司帳戶)

ACCOUNT OPENING FORM (Corporate Account)

內部專用 For Internal Use Only

帳戶號碼 Account Number

□□□□□□□□

日期 Date

備註 Remark

Part 1. 帳戶種類 Type of Account

龍匯證券有限公司 (「龍匯證券」)

Topper Dragon Securities Limited (“TDSL”)

(中央編號: CE No. BJG650)

現金帳戶 Cash Account

電子交易 Electronic Trading (香港股票)

密碼送遞 Password Delivery By Email 電郵

(基於保安理由,密碼必須以電郵傳送予閣下授權電郵地址)

Part 2. 客戶資料 Client Information

*請用正楷填寫 Please complete in Block Letter

公司名稱 Name of Company				(中文 Chinese)
				(英文 English)

註冊國家 Country of Incorporation	註冊日期 Date of Incorporation		
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註冊成立證書號碼 Certificate of Incorporation No.	商業登記編號 Business Registration No.		
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其他註冊號碼 (如有) Other Registration No. (If any)			
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*在成立國家之註冊地址 Address of Registered Office in Country of Incorporation

*業務地址 (如與註冊地址有異) Business Address (if different from Registered Office Address):

*通訊地址 (如與以上有異) Correspondence Address (if different from above)

* 請提供近三個月內發出的有效地址證明 Please provide a valid address proof issued within 3 months

團體性質 (只可選一項) Nature of Entity (Tick One only)	<input type="checkbox"/> Unlisted Company 非上市公司	<input type="checkbox"/> Sole Proprietorship 獨資經營	<input type="checkbox"/> Partnership 合夥經營
	<input type="checkbox"/> Trust 信託	<input type="checkbox"/> Others (Please specify) 其他 (請述明)	

公司業務性質 Nature of Business	公司電話 Business Phone No.		
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電郵地址 E-mail Address	傳真號碼 Facsimile No.		
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帳戶結單遞送至(只選一項) Statements to be sent to your (select one)

電郵地址 E-mail Address 註冊地址 Residential Address 業務地址 Business Address 通訊地址 Correspondence Address

結單語言(只選一項) Language of statement (select one): 繁體中文 Traditional Chinese 英文 English

Part 7. 投資目的及經驗 Investment Objectives and Experience**投資目的 Investment Objective** (可選多項) (May tick more than one)

收益 Income 資本增值 Capital Gain 對沖 Hedging 投機 Speculation

投資經驗 Investment Experience

股票、債券及其他證券 Debentures, Bonds or Other Securities
 槓桿外匯 Leveraged Foreign Exchange
 期貨/期權 Futures / Option
 (其他，請註明 Others (specify): _____)

投資年資 Years of experience

沒有 Nil 0-1 1-3 3-7 7-10 >10
 沒有 Nil 0-1 1-3 3-7 7-10 >10
 沒有 Nil 0-1 1-3 3-7 7-10 >10
 沒有 Nil 0-1 1-3 3-7 7-10 >10

Part 8. 獲授權人士對衍生產品的認識及投資經驗 Authorized Person(s) Knowledge on Derivative Products and Trading Experience

We wish / wish not to purchase the following derivative product(s) which is/are traded on an exchange:

本公司 有意 / 無意 認購以下交易所買賣的衍生產品

Callable Bull Bear Contracts 牛熊證 Derivative Warrants 衍生權證 (窩輪) Exchange Traded Funds (ETF) 交易所買賣基金

Our knowledge of derivative products are as followed: 本公司對衍生產品的認識如下

We underwent training or attended courses on derivative products that provide general knowledge of the nature and risks of derivatives (e.g. courses offered by academic or financial institutions)

本公司已接受有關介紹一般衍生產品之性質及風險的培訓或課程 (例如學術機構或金融機構所提供之課程)

We have work experience related to derivative products

本公司擁有與衍生產品有關之工作經驗

We have relevant trading experience i.e. We have executed five or more transactions in derivative products within the past three years

本公司有相關之交易經驗，即本公司於過去三年曾執行過五次或以上有關衍生產品之交易

*We do not have any knowledge of derivative products. When you do not have any knowledge of derivative products, you could accept Topper Dragon explanation on risks associated with derivative products and complete the questionnaire if you wish to purchase derivative products which are traded on an exchange.

*本公司並未有衍生產品之認識。即使閣下並未有衍生產品之認識，如閣下有意認購交易所買賣的衍生產品，亦可接受龍匯就相關衍生產品所作出之風險解釋及完成問卷調查

Part 9. 身份聲明 Identity Declaration

客戶本身或客戶之董事、股東、或授權人是否證監會之持牌或註冊人士?

Is the client, client's directors, shareholders or authorized persons, licensed by or registered with the Securities and Futures Commission?

No 否 是，請說明 Yes, please specify 監管機構名稱 Name of Regulatory Body _____

註冊號碼 Registration No. _____ 身份 Status _____

客戶本身或客戶之董事、股東、或授權人是否任何上市公司的董事/大股東?

Is the client, client's directors, shareholders or authorized persons a director or major shareholder of any listed company?

No 否 是，請提供上市公司的名稱和上市地點 Yes, please provide the name of the listed company and the place of listing

客戶及/或任何之最終帳戶受益人是否與龍匯證券及其附屬或聯營公司之僱員/董事有任何關係?

The Client and/or any of the ultimate beneficial owner(s) of the Account related to any employee or director of Topper Dragon Securities or any of its subsidiaries or associated companies?

No 否 是，請說明 Yes, please specify

僱員/董事姓名 Name of the employee / director _____ 關係 Relationship _____

客戶或客戶之其他集團成員公司之股東或最終實益擁有人無論是單獨或與配偶是可以控制龍匯證券任何客戶的 30%或以上的表決權?

Does any shareholder or ultimate beneficial owner of the Company and any of your group companies either alone or with his/her spouse, who is in control of 30% or more of the voting rights of the Client, have a margin account with Topper Dragon Securities?

No 否 是 Yes 不適用，本公司並無其他集團成員公司/股東 N/A, we have no group companies/shareholders.

如是，請說明 If yes, please specify 帳戶持有人姓名 Name of account holder _____ 帳戶號碼 Account No. _____

與客戶屬同一公司集團的任何成員是否同是龍匯證券之客戶?

Is any member of the same group of companies of the Company also a client of Topper Dragon Securities?

No 否 是 Yes

如是，請說明 If yes, please specify 關聯公司名字 Name of Related Company _____ 帳戶號碼 Account No. _____

Is the company registered in the United States of America?

貴公司是否美國註冊公司?

如是，請填寫 W-9BEN 表格，否則請填寫 W-8BEN-E 表格。

If yes, please fill in Form W-9BEN. Otherwise, please fill in Form W-8BEN-E.

No 否 Yes

貴公司之股東是否為美國公民（持有美國護照）或美國居民（持有美國綠卡）?

Are shareholders in your company a U.S. citizen (e.g. holding U.S. Passport) or U.S. resident alien (e.g. holding U.S. green card)?

如是，請填寫 W-9BEN 表格，否則請填寫 W-8BEN 表格。

If yes, please fill in Form W-9BEN. Otherwise, please fill in Form W-8BEN.

No 否 Yes

本公司現獲告知龍匯證券有限公司擬使用及在龍匯證券有限公司之間轉移本公司於(龍匯證券有限公司)之資料以直接促銷：(i) 金融服務和產品；(ii) 相關優惠計劃；(iii) 金融與投資建議；或(iv) (龍匯證券有限公司)就前述產品及服務之業務推廣和宣傳活動。該等資料包括本公司在本開戶表格中向龍匯證券有限公司提供不時獲得的姓名、聯絡詳情、財務背景及統計資料等個人資料。本公司明白可以隨時通過龍匯證券有限公司指定的渠道要求龍匯證券有限公司停止在直接促銷中使用本公司的資料。

We are hereby informed that Topper Dragon Securities Limited intends to use and transfer within Topper Dragon Securities Limited our data for the direct marketing of: (i) Financial services and investment products; (ii) Related promotional schemes; (iii) Financial and investment advices; or (iv) promotional and marketing events of Topper Dragon Securities Limited for the aforesaid services or products. Such data includes our name, contact details, financial background and statistical data which are provided to Topper Dragon Securities Limited under this Account Opening Form or obtained by Topper Dragon Securities Limited from time to time. We understand that We may, at any time, require Topper Dragon Securities Limited to cease to use or transfer within Topper Dragon Securities Limited our data for direct marketing through such channel prescribed by Topper Dragon Securities Limited

本公司同意龍匯證券有限公司如上述情況使用本公司之資料。

We agree to the aforesaid use of our data in Topper Dragon Securities Limited.

本公司同意如上述情況在龍匯證券有限公司之間轉移本公司之資料。

We agree to the aforesaid transfer of our data within Topper Dragon Securities Limited.

本公司反對龍匯證券有限公司使用或在龍匯證券有限公司之間轉移本公司的資料作直接促銷用途。

We object to the use of or transfer within Topper Dragon Securities Limited our data in direct marketing.

Part 10. 電子交易服務 Electronic Trading Service

本人/吾等承認及同意由於無法預料的網路擠塞及其它原因，互聯網或其他電子或電訊媒介本來并非可靠的通訊媒介，而且透過 互聯網或其他電子或電訊媒介進行的交易可能會發生以下情況：任何或所有證券交易的指示或其他訊息的傳送和接收可能出現 故障或被延誤，及指示可能沒有被執行或被延誤執行，或執行指示所依據的價格與閣下發出指示時的價格不同。本人/吾等承認及同意系統有其相關的風險（包括硬體和/或軟體故障），而且任何該等系統故障可能導致閣下的任何或所有證券交易指示無法執行。本人/吾等承認及同意任何或所有證券交易指示的傳送有發生中斷、失真、遺漏、停頓或被截取以及被誤解或任何溝通失誤的風險。本人/吾等承認及同意在一般情況下，任何或所有證券交易指示一經發出是不能取消的。本人/吾等承認及同意透過互聯網服務提供的有關證券及證券市場的資訊及資料乃是本公司從任何證券交易市場及本公司不時委聘的第三者服務供應商所取得。由於市場反復波動，資料傳送過程可能受到延遲及基於其他原因，資訊及資料可能不準確、完整、即時及正確次序。所以，本人/吾等承認及同意任何依賴於這些資訊及資料可導致不正確的投資決定及/或行動。

I/We acknowledge and agree that the internet or other electronic telecommunications media are, due to unpredictable transmission congestion and other reasons, inherently unreliable medium of communication and that transactions conducted over the internet or via other electronic or telecommunications media are subject to possible failure or delays in the transmission and receipt of instructions for any or all transactions in securities or other information, and possible failure or delays of execution or execution at prices different from those prevailing at the time when my/our instructions were given. I/We acknowledge and agree that there are risks associated with the system, including the failure of hardware and/or software, and that the result of any such system failure may be that my/our instruction for any of all transactions in securities is not executed. I/We acknowledge and agree that there are risks of transmission interruption, distortion, omission or blackout, interception of instructions for any or all transactions in securities as well as of misunderstanding or errors in any communication. I/We acknowledge and agree that it is not usually be possible to cancel an instruction for any or all transactions in securities after it has been given. I/We acknowledge that information and data provided through the internet trading services relating to securities and the securities markets has been obtained from any securities exchanges and markets and from other third party service providers. Owing to market volatility, possible delay in data transmission process and other reasons, the information and data may not be accurate, complete, timely and in correct sequence. Thus, I/We acknowledge that any reliance on such information and data may lead to incorrect investment decisions and/or other actions.

Part 11. 客戶聲明、確認及協議 Declaration and Agreement By Client

本開戶表格的資料均屬真實及正確，除非龍匯證券收到任何客戶資料改變的書面通知，龍匯證券將有權依據這些資料及陳述，作任何用途或目的。客戶授權龍匯證券可在任何時間聯絡任何人，包括客戶的銀行、經紀等任何信貸機構，藉以確定及查證本開戶資料表格內的資料。

The information contained in this Account Opening Form is true and accurate. Topper Dragon Securities is entitled to rely fully on such information and representations for all purposes, unless Topper Dragon Securities receives notice in writing of any change. Topper Dragon Securities is authorized at any time to contact anyone, including the client's banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Form.

本人/吾等謹此承諾並確認 I/We hereby acknowledge and confirm that

- 本人/吾等已收到、閱讀及明白證券交易帳戶交易帳戶協議內之條款（包括其附表、附錄及附件(如有)）（「協議」）而本人/吾等接納並同意受該等條款約束；

I/we have received, read and understood the terms and conditions contained in the Agreement for Securities Trading Account (and the schedules, appendices and annexes thereto, if any) (the "Agreement"), and I/we accept to be bound by them;

- 本人/吾等是為結算、保管、保證金、交易或其他用途提供予或存入(或將來提供予或存入) 龍匯證券的所有金錢、資金、證券、抵押品或其他資產之實益擁有人，龍匯證券無需另行查證該些金錢、資金、證券、抵押品或資產的來源或擁有權。如客戶並非實益擁有人，客戶須立即通知龍匯證券實益擁有人的身份及資料(或該資料其後的變更)。龍匯證券有絕對酌情權決定是否接納該等金錢、資金、證券、抵押品或資產及/或有關指示，且無須 因為其接納或拒絕而引致(直接或間接)或與之相關客戶所蒙受的任何損失、損害賠償、開支或利潤損失承擔法律責任；

I am/We are the beneficial owner(s) of all moneys, funds, Securities, collateral or other assets provided or deposited or to be provided or deposited by the Client to or with Topper Dragon Securities for settlement, safekeeping, margin, trading or other purposes, and Topper Dragon Securities shall not be required to inquire into the source or ownership of such moneys, funds, Securities, collateral or properties. In the event that the Client is not the beneficial owner (s), the Client shall promptly inform Topper Dragon Securities of the identities and particulars of the beneficial owner(s) and any subsequent changes to such information.

Topper Dragon Securities shall have the absolute discretion in accepting or refusing any or all such moneys, funds, Securities, collateral or properties and/or the relevant instructions, and Topper Dragon Securities shall not be held liable for any loss, damages, expenses, loss of profit whatsoever suffered and/or incurred by the Client arising out of (directly or indirectly) or in connection with such acceptance or refusal;

- 龍匯證券有絕對酌情權修訂、更改、刪減或取代本協議之任何條款或加入新的條款。修訂通知及修改後之本協議將刊載於龍匯證券網站之《重要條款》專欄內。該修訂、刪減、取代或增加的條款將於相關修訂通知刊載之日起生效，並被視為納入本協議內。客戶可於修訂通知在龍匯證券網站上刊載後十四天內以書面向龍匯證券提出反對，否則會被視為接受該修訂、刪減、取代或增加的條款；

Topper Dragon Securities shall have absolute rights to change, amend, delete or substitute any of the terms in or add new terms to the Agreement. An amendment notice and the revised Agreement will be posted at the "Important Terms" column of the Topper Dragon Securities Website. Such amendment, deletion, substitution or addition shall be deemed effective and incorporated therein (and shall form part of the Agreement on the date of publication or issuance of such amendment notice. The Client may raise written objection within fourteen (14) days after the publication or issuance of such amendment notice on Topper Dragon Securities' website And the Client shall be deemed to have accepted such amendment, deletion, substitution or addition if no such objection is raised;

- [適用於客戶(機構客戶除外)以其在香港持牌銀行開立的帳戶所簽發的支票及將有關支票兌現(該支票的數額不得少於 10,000 港元，並須載有該客戶在身分證明文件上所顯示的姓名) 加以核實其身份]客戶知悉及同意有關新帳戶必須待清算支票後才可使用；

(Applicable where the identity of the Client (other than corporate entities) is verified by a cheque (amount not less than HK\$10,000 and bearing the Client's name as shown in his/her identity document) issued by the new Client and drawn on the Client's account with a licensed bank in Hong Kong) The Client acknowledges and agree that the new account will not be activated until the cheque is cleared;

- 本人/吾等授權龍匯證券指示，聘用及委任其按絕對酌情權視為適當的執行或結算經紀、代理人、託管人、代名人、海外經紀及交易商(包括龍匯證券的分行或附屬成員)，以代表客戶執行、進行、交易、實施、結算及交收任何指示及交易。客戶知悉及同意承擔因相關代理人違約、未能履行其責任，或相關代理人破產、停業，而導致客戶無法完成交易或蒙受損失之風險，且龍匯證券不須對上述引致的損失或損害承擔責任；

I/We authorize Topper Dragon Securities to instruct, engage and appoint such executing or clearing brokers, agents, custodians, nominees, overseas broker and dealers (including branches or affiliates of Topper Dragon Securities) (together, "Agents") as Topper Dragon Securities may in its absolute discretion deem fit to execute, effect, trade, implement, clear and settle any instructions and transactions on the Client's behalf. The Client acknowledges and accepts the risks of loss or failure in completion of transactions in the event of the defaults, failure of any Agent in fulfilling its roles or winding up or cessation of business of such

Agent, and Topper Dragon Securities shall not be responsible for any losses or damages incurred or suffered as a result thereof;

- 本人/吾等明白且同意，龍匯證券有權不時要求提供其認為合適的該些文件及資料(包括但不限於客戶、客戶委任代表其就帳戶發出指示的任何人士(“獲授權人士”)及就客戶而言的任何實益擁有人、最初負責發出指示的人士、將會從交易中取得商業或經濟利益或承擔其商業或經濟風險的人士之身份、指示或開立帳戶之目的及預期交易性質、資金來源及由來、預期將進行的活動程度及獲授權人士之權限)，以遵守任何法規要求(包括但不限於防止清洗黑錢、恐怖分子資金籌集及提供財務及/或其他服務予可能受制裁之人士或實體)及於開立帳戶或接受任何指示前進行客戶身份辨別、核實及盡職審查。若未能提供該些文件或資料或客戶身份辨別、核實及盡職審查程序未能以令龍匯證券滿意的方式完成，則龍匯證券有權拒絕開立帳戶，或暫止或終止帳戶，或拒絕接受指示；

I/We understand and agree that Topper Dragon Securities has the right to request such documents and information, including but not limited to, the identities of the Client, any person appointed by the Client to give instructions on its behalf in relation to the Account (“Authorized Persons”), any beneficial owner in relation to the Client or the persons ultimately responsible for originating instructions or who stand to gain the commercial or economic benefit of transactions or who bear the commercial or economic risk, the purpose and intended nature of the instructions or the opening of the Account(s), the source and origin of funds, the anticipated level of activity to be undertaken and the authority of the Authorized Persons from time to time as it deems appropriate for the purpose of complying with any regulatory requirements (including but not limited to the prevention of money laundering, terrorist financing and provision of financial and/or other services to persons or entities which may be subject to sanctions) and conducting client identification, verification and due diligence before opening the Account or accepting any instructions. Topper Dragon Securities may refuse to open, suspend or terminate the Account or reject the instructions if such documents or information are not provided or the client identification, verification or due diligence exercise is not completed to the satisfaction of Topper Dragon Securities;

- 本人/吾等已獲提供以本人/吾等選擇語言(英文或中文)所撰寫的風險披露聲明；

The risk disclosure statements were provided to me/us in a language of my/our choice (English or Chinese);

- 本人/吾等已獲邀請參閱風險披露聲明，並按其意願提出問題及諮詢獨立意見；及

I/We was/were invited to read the risk disclosure statements, and to ask questions and take independent advice if I/we so wished; and

- 本人/吾等已參閱龍匯證券給予客戶有關《個人資料(私隱)條例》的通知(載於證券交易帳戶協議內)，並明白且同意其條款。

I/We have read Topper Dragon Securities' Circular to Clients Relating to the Personal Data (Privacy) Ordinance (as contained in the Agreement for Securities Trading Account), understand and agree to its terms.

客戶簽署 (蓋上公司印章):

Client Signature (with company chop):



日期 Date :

*** 如開戶申請表並非在龍匯證券或聯繫人士的職員/代理人見證下簽署，帳戶持有人必須遵從以下程序要求：由其他持牌人或註冊人、龍匯證券的聯繫人士、太平紳士、銀行分行經理、執業會計師、律師或公證人見證客戶的簽名及身份證明文件。

*** If this account opening form is not executed by the client(s) in front of Topper Dragon Securities' employee, customer should comply with the following procedural requirement. Have any other licensed or registered person, associate of Topper Dragon Securities, justice of the peace, branch manager of a bank, certified public accountant, lawyer or notary public certify the signature and identity documents of the account holders.

Part 12. 見證人資料 Witness Information

見證人中文姓名 Chinese Name of Witness		見證人英文姓名 English Name of Witness	
職業 Occupation		聯絡電話 Phone No.	
身份證/護照號碼 ID Card No./ Passport No.		牌照編號 License No.	
見證人簽署 Signature		日期 Date	
辦公室地址 Office Address			

如見證人並非龍匯證券的聯繫人士，請一併提交其見證人之身分證明文件及專業資格證書。

If the witness is not an associate of Topper Dragon Securities, please provide the copy of identity documents and professional license of the witness.

董事局委員長決議 (閣下可選擇提供貴司之董事會決議(如有)或填妥下列董事局委員長決議樣本)

Board Resolution (Please submit the Board of Resolution of your Company (if any) or complete the following one)

公司名稱：_____ (「本公司」)

本公司董事會於_____ (日期)

在_____ (地址) 舉行的董事會會議記錄。

會議主席：_____ 出席人 (出席董事全名)：_____

Client Name: _____ (the "Company")

Minutes of a Meeting of the Board of Directors of the Company held on _____ (Date)

At _____ (Address)

Chairman of the meeting: _____ Present (Full Name of Directors present): _____

有關通知已按要求發出，且與會人數符合法定人數要求，主席宣佈會議有效。

The requisite notices having been given and a quorum being present, the Chairman declared the meeting duly and validly constituted.

1. 授權人士 Authorized Person:

茲決議本公司將於龍匯證券開立證券交易帳戶，並授權下列人士作為獲授權人可代表申請人操作帳戶及可按客戶協議作出任何其他事宜（包括（i）簽署、簽訂及交付與帳戶相關之所有協議或文件及（ii）簽發指令為證券進行支付、提取及／或轉帳事宜。）




It was resolved that with immediate effect, a securities trading account(s) be opened with Topper Dragon Securities and that the following person(s) is/ are appointed as authorized person(s) of the Company to (i) sign, execute and deliver all agreements and documents in relations to the account(s); and (ii) to sign and/or effect payment, withdrawal and/or transfer transaction(s) for securities/futures.

	獲授權人士姓名 Authorized Person's Name	身份證或護照號碼 ID Card / Passport No.	簽發國家 Issuing Country	稱號 / 職銜 Title / Position	簽名式樣 Specimen Signature
1.					
2.					
3.					
4.					

2. 授權交易人士 Authorized Trading Person:

茲決議本公司授權下列人士作為獲授權人可代表申請人可簽署及／或進行證券交易。

It was resolved that with immediate effect, the following authorized person(s) is / are appointed as authorized trading person(s) and authorized to sign and/or effect securities and/or futures transaction(s).

	獲授權人士姓名 Authorized Person's Name	身份證或護照號碼 ID Card / Passport No.	簽發國家 Issuing Country	稱號 / 職銜 Title / Position	簽名式樣 Specimen Signature
1.					
2.					
3.					
4.					

1. 商務私章式樣（如適用） Company Chop Specimen (If Applicable)

印章或印鑑式樣

Specimen Chop or Seal

會議結束 Close of Meeting

由於沒有其他事項，主席宣布會議結束。There being no further business, the Chairman declared the meeting closed.

主席簽署 Chairman's Signature _____ 

主席 Chairman _____

龍匯證券有限公司持牌人士聲明**Declaration by Topper Dragon Securities Limited Licensed Person**

本人(姓名見下)，為龍匯證券有限公司之持牌人士，謹此聲明，本人：

- a. 已向客戶提供以客戶選擇語言(英文或中文) 所撰寫的風險披露聲明；及
- b. 已邀請客戶參閱風險披露聲明，並按客戶的意願提出問題及諮詢獨立意見。

I, named below, a licensed person of Topper Dragon Securities Limited, hereby declare that I have:

- a. Provided to the above-named Client the risk disclosure statements in a language of the Client's choice (English or Chinese); and
- b. Invited the Client to read the risk disclosure statement, ask questions and take independent advice if the Client wishes.

持牌人士簽署 Licensed Person Signature	日期 Date
持牌人士姓名 Licensed Person Name	中央編號 CE No.
AML 風險級別 (請參照 AML 風險級別指引) AML Risk Category (Please refer to AML Risk Category Guideline)	<input type="checkbox"/> 低 LOW <input type="checkbox"/> 一般 NORMAL <input type="checkbox"/> 高 HIGH

核准及接納 Approved and accepted by**龍匯證券有限公司 Topper Dragon Securities Limited**

獲授權人士簽署 Authorized Signature	獲授權人士姓名 Full Name of Authorized Person
	職位 Position
	日期 Date
備註 Remarks	

FOR INTERNAL USE ONLY 只供內部使用

客戶姓名 Client Name:

帳戶號碼 Account Number

* Unless otherwise specified, commissions shall be charged according to the Fees Schedule which are subject to change from time to time.

FOR SECURITIES TRADING

	HK Stock	Others (Please specify)	Remarks
Trading Limit / Maximum Margin	HKD		
Credit Limit	HKD		
Interest Rate		%	
Min Commission	HKD		
Brokerage Rate		%	

核准及接納 Approved and accepted by

AML 風險級別 (請參照 AML 風險級別指引) AML Risk Category (Please refer to AML Risk Category Guideline)

- 低 LOW
 一般 NORMAL
 高 HIGH

Account Received by (AE/ House)	Document Checked by:	AML Checked by:	Information Inputted by:	Checked by:
Signature / Initial	Signature / Initial	Signature / Initial	Signature / Initial	Signature / Initial
Date	Date	Date	Date	Date

DATA PRIVACY POLICY

私隱政策

- As a client of The Broker (the "Client"), it is necessary from time to time for the Client to supply his/her personal data ("Personal Data"), within the meaning ascribed in the Personal Data (Privacy) Ordinance (Chapter 486 of the laws of Hong Kong) (the "Privacy Ordinance") to The Broker or TOPPER DRAGON when opening or continuation of accounts, or in the establishment, continuation or provision of investment, dealing or related services.
 - Failure to supply Personal Data may result in The Broker being unable to open or continue accounts or establish, continue or provide investment, dealing or related services.
 - Personal Data may also be collected in the ordinary course of continuation of the business relationship with TOPPER DRAGON.
 - Subject to the provisions of the Privacy Ordinance, any Personal Data may be used for the following purposes:
 - the daily operation of the services provided to the Client;
 - conducting credit checks;
 - ensuring ongoing credit worthiness of the Client;
 - marketing investment, dealing or related services or products;
 - supporting any statements made in any documents in connection with the services of The Broker;
 - assisting other relevant parties, professionals, institutions or relevant regulatory authorities to verify certain facts in connection with the services of The Broker;
 - meeting the requirements to make disclosures under the requirements of any laws and/or regulations binding on The Broker;
 - forming part of the records of the recipient of the data as to the business carried on by it; and
 - any other purposes relating to or incidental to any of the above.
 - The Broker will keep Personal Data confidential but The Broker may provide Personal Data to the following persons in furtherance of the purposes set in the above paragraph
 - any agent or third party service provider who provides services to The Broker in connection with the operation of its business;
 - an appropriate person under a duty of confidentiality to The Broker including any TOPPER DRAGON Company which has undertaken to keep such information confidential;
 - any person or institution with which the Client has or proposes to have dealings;
 - credit reference agencies and debt collection agencies (in the event of default payment);
 - any regulatory authorities or exchanges which relate to or govern any business of The Broker and any TOPPER DRAGON Company;
 - any assignee, transferee, delegate, successor or person to whom the account of the Client is transferred and the authorised person of the Client; and
 - any of The Broker actual or proposed assignee or participant or sub-participant or transferee.
 - The Personal Data may be transferred to any place outside Hong Kong, whether for the processing, holding or use of such data outside Hong Kong, and also to service providers which offer services to any TOPPER DRAGON Company in connection with the operation of its business.
 - To the extent permitted by law, the Personal Data collected by The Broker from time to time may be used and disclosed in accordance with the Data Privacy Policy.
 - In accordance with the terms of the Privacy Ordinance, any individual has the right to:
 - check whether The Broker holds data about him/her and access to such data;
 - required The Broker to correct any data relating to him/her which is inaccurate;
 - ascertain The Broker's policies and practices in relation to data and be informed of the kind of personal data held by The Broker; and
 - in relation to customer credit, request to be informed which items of personal data are routinely disclosed to credit reference agencies or debt collection agencies, and be provided with further information to enable the making of an access and correction request to the relevant credit reference agency or debt collection agency.
 - In accordance with the Privacy Ordinance, The Broker has the right to charge a reasonable fee for the processing of any data access request. All requests for access to data or correction of data (when client considers that his/her personal data, supplied by The Broker following a data access request, are inaccurate) or for information regarding policies and practices and kinds of data held should be addressed as follows:
- 作為經紀之客戶（「客戶」），當申請開立或延續戶口或 建立、延續或提供投資、交易或相關服務時，需不時向經紀或龍匯提供有關之個人資料（「個人資料」按《個人資料私隱》條例）（香港法例第486章）（「私隱條例」）所賦予之定義）。
 - 若未能向經紀提供有關資料，將會導致經紀無法開立或 延續戶口或建立、延續或提供投資、交易或相關服務。
 - 個人資料將可能在與龍匯的正常業務往來過程中被收集。
 - 資料將可能用於下列用途：
 - 為提供服務給客戶之日常運作；
 - 作信貸檢查；
 - 確保客戶之信用維持良好；
 - 宣傳投資、交易或相關服務或產品；
 - 支援經紀在有關服務上作出之任何文件內之任何聲明；
 - 協助其他有關第三者、專業人員、機構及有關監管機構確認經紀在有關服務上之某些事實；
 - 根據經紀須遵守之有關法例及／或條例要求作出披露；
 - 組成接收資料者所經營業務的紀錄的一部份；及
 - 與上述有關或隨附之其他用途。
 - 經紀會把個人資料保密，但為達至上述第(4)段所述的用途，經紀可能會把有關資料提供給：
 - 任何中間人，或提供與經紀業務運作有關服務之第三者 服務供應人；
 - 任何對經紀有保密責任之適當人仕，包括對經紀有保密資料承諾的龍匯；
 - 任何與閣下已有或建議有交易之人仕及機構；
 - 信貸諮詢機構及（發生拖欠付款時） 收數公司；
 - 任何管治或與經紀及龍匯的業務有關的監管機構及交 易所；
 - 任何承讓人、受讓人、代表、繼承人或獲轉讓有關帳戶 之人士及授權人士；及
 - 任何經紀之實在或建議受讓人或參與人或附屬參與人 或受讓人。
 - 客戶同意個人資料可轉到香港以外的任何地點（不論是 用作在香港以外處理、持有或使用該等資料），並同意可轉 發給向任何龍匯就其業務經營而提供服務的服務提供者。
 - 在法律許可的範圍內，客戶同意經紀不時收集的個人資 料可按照私隱政策的規定使用及披露。
 - 根據私隱條例中之條文，任何人有權：
 - 審查經紀是否持有他／她的資料及查閱有關之資料；
 - 要求經紀改正有關他／她不準確之資料；
 - 查悉經紀對於資料之政策及實際運用及被通知經紀持 有何種個人資料；及
 - 就客戶信貸而要求獲通知哪項個人資料是例行披露予 信貸諮詢機構或收數公司，以及獲提供進一步的資訊以便 向有關的信貸諮詢機構或收數公司作出查閱及改正要求。
 - 根據私隱條例規定，經紀有權就處理任何查閱資料之要 求收取合理費用，任何關於資料查閱或改正資料（當客戶認 為由經紀所提供有關他／她的資料不準確時）或關於資料 政策及實際應用或資料種類之要求，應向下列人仕提出：

Data Privacy Officer
8/F, CS Tower, 50 Wing Lok Street, Sheung Wan, Hong Kong
Tel: +852 3578 8733

私隱資料主任
香港上環永樂街 50 號昌盛大廈 8 樓
電話：+852 3578 8733