



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

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開戶表格 (個人 / 聯名帳戶)

ACCOUNT OPENING FORM (Individual / Joint Account)

內部專用 For Internal Use Only

帳戶號碼 Account Number

□□□□□□□□

日期 Date

帳戶類別 Account Type

個人帳戶 Individual Account

聯名帳戶 Joint Account**

另一申請人姓名及關係 Name of joint Applicant & relationship

_____ ()

**請一併提交第二聯名帳戶持有人開戶表格補充文件及相關文件
Please provide the secondary account holder's supplementary account opening form and relevant document

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)

Part 2. 第一/ 第二申請人資料 Primary/ Secondary Applicant Information *請用正楷填寫, 適用處剔 Please complete in Block Letter, tick

客戶姓名 Client Name	<input type="checkbox"/> 先生 Sir <input type="checkbox"/> 女士 Madam.	(中文 Chinese)	(英文 English)
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出生日期 (日/月/年) Date of Birth (DD/MM/YY)	婚姻狀況 Marital Status	<input type="checkbox"/> 單身 Single <input type="checkbox"/> 已婚 Married
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身份證 / 護照號碼 ID Card / Passport No.	國籍/公民身份 Nationality/ Citizenship
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手提電話 Mobile Phone No.	住宅電話 / 微訊 Home Phone No. / WeChat
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電郵地址 E-mail Address	中央結算投資者戶口名稱及號碼 CCASS Investor Account Name & 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 住宅地址 Residential Address 公司地址 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

住宅地址
Residential 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住址證明 Please provide a valid address proof issued within 3 months

工作狀況 Employment Status	<input type="checkbox"/> 受僱 Employed <input type="checkbox"/> 退休 Retired	<input type="checkbox"/> 自僱 Self-Employed <input type="checkbox"/> 其他 Others _____
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僱主名稱 Name of Employer	(如屬自僱, 請列明自僱詳情 If self-employed, please specify)
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公司地址 Business Address	業務性質 Nature of Business
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職位 Position	任職年期 Year(s) Employed
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是否需要得到現任僱主同意書，方可開立本投資戶口？ Do you need the consent letter from your current employer for this account opening application?	<input type="checkbox"/> 是 Yes (請提供 Please provide) <input type="checkbox"/> 否 No
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Part 3. 銀行資料 Bank Account Information

除經客戶另行指示外，須付予客戶的款項將會被轉入下列帳戶

Unless otherwise instructed by you, all monies payable to you will be credited to the following bank account

指定銀行名稱 Designated Bank Name		銀行帳戶持有人姓名 Name of Bank Account Holder	
銀行帳戶號碼 Bank Account No.	<input type="checkbox"/> 港元 帳戶號碼 HKD A/C No. _____		
	<input type="checkbox"/> 美元 帳戶號碼 USD A/C No. _____		
	<input type="checkbox"/> 人民幣 帳戶號碼 CNY A/C No. _____		

如屬龍匯聯名帳戶，支票付予 Payable to 聯名 Joint Name 第一戶口持有人 1st A/C Holder 第二戶口持有人 2nd A/C Holder in case of Joint A/C

Part 4. 財務狀況 (應證監會規定) Financial Background (As required by SFC)

主要收入來源 (可選多項) Main source of income (May tick more than one)	<input type="checkbox"/> 薪金 Salary	每年收入(HK\$) Annual Income	<input type="checkbox"/> < 200,000
	<input type="checkbox"/> 佣金 Commission		<input type="checkbox"/> 200,001 - 400,000
	<input type="checkbox"/> 租金 Rent		<input type="checkbox"/> 400,001 - 600,000
	<input type="checkbox"/> 股息/利息 Dividend/Interest		<input type="checkbox"/> 600,001 - 800,000
	<input type="checkbox"/> 業務溢利 Business Profit		<input type="checkbox"/> 800,001 - 1,000,000
	<input type="checkbox"/> 資本增值 Investment		<input type="checkbox"/> > 1,000,000
	<input type="checkbox"/> 其他 Others _____		
資產項目 (可選多項) Asset Items (May tick more than one)	<input type="checkbox"/> 房地產 Property	估計資產淨值(HK\$) Net Asset Worth	<input type="checkbox"/> < 1,000,000
	<input type="checkbox"/> 上市證券 Listed Securities		<input type="checkbox"/> 1,000,001 - 3,000,000
	<input type="checkbox"/> 存款 Deposits		<input type="checkbox"/> 3,000,001 - 5,000,000
	<input type="checkbox"/> 債券 Bonds		<input type="checkbox"/> 5,000,001 - 7,000,000
	<input type="checkbox"/> 基金 Fund		<input type="checkbox"/> 7,000,001 - 10,000,000
	<input type="checkbox"/> 其他 Others _____		<input type="checkbox"/> > 10,000,000

物業資料 Occupancy Nature

自置 Self-owned 估值(扣除按揭) Approx. net value (less mortgage) of property: HK\$ _____

租用 Rental 與親人同住 Living with Relative

Part 5. 投資目的及經驗 Investment Objectives and Experience

學歷 Education Level

小學程度或以下 Primary or below 中學畢業 Secondary Graduate 大學畢業 University Graduate 碩士畢業或以上 Postgraduate or above

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

可承受風險 Risk Tolerance

市場價格每月波動大於 30% Market price fluctuates over 30% per month
 市場價格每月波動小於 30%大於 10% Market price fluctuates between 10% to 30% per month
 市場價格每月波動小於 10% Market price fluctuates under 10% per month

投資經驗 Investment Experience

股票、債券及其他證券 Debentures 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 6. 結構性或衍生產品知識 Knowledge of Structured or Derivative Products

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

本人 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

My knowledge of derivative products are as followed: 本人對衍生產品的認識如下

I 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)

本人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)

I have work experience related to derivative products

本人擁有與衍生產品有關之工作經驗

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

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

*I 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.

*本人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 7. 身份聲明 Identity Declaration

1. 客戶是否戶口之最終受益人:

Is client the ultimate beneficial owner(s) of this Account? 是 Yes 否 No

(龍匯證券在一般情況下並不接受申請人並非其戶口之最終受益人)

(Normally Topper Dragon Securities would not accept the Applicant who is not the ultimate beneficial owner(s))

2. 客戶之任何董事、股東或授權人士是否為香港聯合交易所參與者或任何根據證券及期貨條例註冊持牌法團或註冊機構之僱員 (不管閣下現時是否為證監會持牌代表/金管局註冊人士)? 如是, If yes,

Is any director, shareholder or authorized person of the client an employee of any participant of the Stock Exchange of Hong Kong, a licensed corporation or a registered institution under the Securities and Futures Ordinance (whether he/she is currently a SFC licensed/HKMA registered person or not)?

No 否 是, 請附僱主同意信 Yes, please enclose employer consent letter

Participant/Licensed Corporation/ Registered Institution Name

參與者/持牌法團/註冊機構名稱: _____ 職位 Position: _____

中央編號 CE No.: (僱主 Employer) _____ / (僱員 Employee) _____ (如適用 If applicable)

3. 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?

Are you 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?

否 No 是 Yes 如是, 請說明 If yes, please specify

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

4. 客戶或其授權人是否任何上市公司的董事/僱員/大股東?

Is the client or his authorized person a director, employee or major shareholder of any listed company?

否 No 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

5. 客戶的配偶或其他與客戶有關連的人士是否龍匯證券的客戶?

Is your spouse or other persons related to you a client of Topper Dragon Securities?

否 No 是, 其姓名為 Yes, whose name is (帳戶號碼 A/C No.: _____) 關係 Relationship: _____

6. 客戶是否操控另一龍匯證券帳戶?

Are you operating another account in Topper Dragon Securities?

否 No 是, 其姓名為 Yes, whose name is (帳戶號碼 A/C No.: _____) 關係 Relationship: _____

7. 客戶是否個人或與配偶共同控制任何龍匯證券的公司客戶 30%或以上的投票權?

Do you alone or with your spouse control 30% or more of the voting rights of any corporate clients of Topper Dragon Securities?

否 No 是, 帳戶名稱為 Yes, the account name is (帳戶號碼 A/C No.: _____)

8. 閣下是否為美國公民(持有美國護照)或美國居民(持有美國綠卡)?

Are you 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-9 表格, 否則請填寫 W-8BEN 表格。

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

No 否 Yes

本人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人於龍匯證券有限公司之個人資料以直接促銷:(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。該等個人資料包括本人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。本人明白本人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人的個人資料。

I am hereby informed that Topper Dragon Securities Limited intends to use and transfer within Topper Dragon Securities Limited my personal 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 personal data includes my 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. I understand that I may, at any time, require Topper Dragon Securities Limited to cease to use or transfer within Topper Dragon Securities Limited my personal data for direct marketing through such channel prescribed by Topper Dragon Securities Limited

本人同意龍匯證券有限公司如上述情況使用本人之個人資料。

I agree to the aforesaid use of my personal data in Topper Dragon Securities Limited.

本人同意如上述情況在龍匯證券有限公司之間轉移本人之個人資料。

I agree to the aforesaid transfer of my personal data within Topper Dragon Securities Limited.

本人反對龍匯證券有限公司使用或在龍匯旗下公司之間轉移本人的個人資料作直接促銷用途。

I object to the use of or transfer within Topper Dragon Securities Limited my personal data in direct marketing.

Part 8. 共同匯報標準-自我證明表格 Self-Certification for Common Reporting Standard

請提供以下資料, 列明 (a) 帳戶持有人的居留司法管轄區, 亦即帳戶持有人的稅務管轄區 (香港包括在內) 及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。列出所有 (不限於 3 個) 居留司法管轄區。

如帳戶持有人是香港稅務居民, 稅務編號是其香港身份證號碼。

如帳戶持有人是中國稅務居民, 稅務編號是其中國身份證號碼。

如沒有提供稅務編號, 必須填寫合適的理由:

理由 A - 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

理由 B - 帳戶持有人不能取得稅務編號。如選取這一理由, 解釋帳戶持有人不能取得稅務編號的原因。

理由 C - 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Please complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to three) jurisdictions of residence.

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

If the account holder is a tax resident of China, the TIN is the China Identity Card Number.

If a TIN is unavailable, provide the appropriate reason A, B or C:

Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

Reason B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed

稅務管轄權所屬國家/地區 Jurisdiction of tax residence	稅務管轄權所屬國家/地區之稅務識別號碼 TIN*	如客戶未能提供有關稅務管轄權所屬國家/地區之稅務識別號碼須提供以下 A,B 或 C 原因。Enter Reason A, B or C if no TIN is available	如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因 Explain why the account holder is unable to obtain a TIN if you have selected Reason B
1			
2			
3			

本人知悉及同意，財務機構可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報。從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。本人證明，就與本表格所有相關的帳戶，本人獲帳戶持有人授權簽署本表格。

本人承諾，如情況有所改變，以致影響本表格所述的實體的稅務居民身分，或引致本表格所載的資料不正確，本人會通知龍匯證券，並會在情況發生改變後 30 日內，向龍匯證券提交一份已適當更新的自我證明表格。

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

I certify that I am authorized to sign for the account holder of all the account(s) to which this form relates.

I undertake to advise Topper Dragon Securities of any change in circumstances which affects the tax residency status of the individual identified in this form or causes the information contained herein to become incorrect, and to provide Topper Dragon Securities with a suitably updated self-certification form within 30 days of such change in circumstances.

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

警告:根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級 (即\$10,000) 罰款。WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000)

Part 9. 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 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 10. 帳戶操作 (只適用於聯名帳戶) Account Operation (For Joint Account only)

交易指示 Trading Instruction*:

- 任何一位聯名帳戶持有人單獨簽署 Any ONE of the Joint Account Holders signing alone
- 任何兩位聯名帳戶持有人共同簽署 Any TWO of the Joint Account Holders signing jointly
- 所有聯名帳戶持有人共同簽署 ALL Joint Account Holders signing jointly
- 基本聯名帳戶持有人單獨簽署 Primary Account Holder signing alone

可有效進行證券交易。 shall be valid for effecting securities transaction(s).

交收指示 Settlement Instruction:

- 任何一位聯名帳戶持有人單獨簽署 Any ONE of the Joint Account Holders signing alone
- 任何兩位聯名帳戶持有人共同簽署 Any TWO of the Joint Account Holders signing jointly
- 所有聯名帳戶持有人共同簽署 ALL Joint Account Holders signing jointly
- 基本聯名帳戶持有人單獨簽署 Primary Account Holder signing alone

可有效為證券進行支付、提取及轉帳事宜。

shall be valid for effecting payment, withdrawal and transfer transaction(s) for securities.

*如客戶沒有就上述帳戶操作作出適當的選擇，則所有聯名帳戶持有人均須簽署以作出交易指示及交收指示。

Should you do not make an appropriate instruction for the Account Operation as above, ALL Joint Account Holders must sign jointly in order to make Trading Instruction as well as Settlement Instruction.

*任何一位聯名帳戶持有人以口頭指示可有效進行證券交易。

*Oral instruction by any ONE of the Joint Account Holders shall be valid for effecting securities transaction(s).

Part 11. 客戶聲明、確認及協議 Declarations, Confirmation 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及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，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, understand and agree to its terms.

客戶簽署 Client Signature (個人/ 基本/ 第二聯名帳戶持有人) (Individual / Primary Joint Account Holder)	姓名 (正楷) Name (Block Letter)
	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：

1. 交給龍匯證券在香港持牌行開立的帳戶所簽發不少於港元 10,000 的個人支票，該支票的簽名及姓名須與本表格的客戶簽名及身份證明文件相符，而支票抬頭須為 “龍匯證券有限公司-Clients' A/C”。客戶的帳戶必須待支票兌現後才可使用。
2. 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.

1. Send a personal cheque in favor of Topper Dragon Securities-Clients' A/C for not less than HKD10,000 drawn on an account with a licensed bank in Hong Kong, bearing the signature(s) as on this Form and name(s) as on the identity document(s). The new account will not be activated until the cheque is cleared.
2. 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 associate of Topper Dragon Securities, please provide the copy of identity documents and professional license of the witness.

文件查核列表 Document check list

1. 已核實的身份證或護照副本 Certified ID Card/Passport Copy
2. 最近三個月內的住址證明文件副本 Address proof issued within 3 months
3. W-8ben 或 W-9 表格 W-8ben/W-9 form
4. 僱主書面同意 (如適用) Employer consent letter (if applicable)
5. 在香港持牌銀行開立的帳戶所簽發的支票 (如適用) A cheque issued by a Hong Kong licensed bank (if applicable)
 - 數額不得少於 HK\$10,000 With a sum not less than HK\$10,000
 - 須載有客戶在身份證明文件上所顯示之姓名 Bearing your name identical to your identity documents.
 - 抬頭為「龍匯證券有限公司 – Clients' A/C」 Payable to " Topper Dragon Securities Limited – Clients' A/C"
 - 客戶支票的簽名須與開戶表格上之客戶簽署相符 Bearing your signature identical to the signature shown on the Account Opening Form.

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.

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
	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

個人 / 聯名帳戶開戶表格指引

Guidance of Individual / Joint Account Opening Form

本開戶表格索引 Content of the Account Opening Form	頁數 Page	需要被填寫 To be filled in
Part 1. 帳戶種類 Type of Account	P. 1	<input checked="" type="checkbox"/>
Part 2. 第一/ 第二申請人資料 Primary/ Secondary Applicant Information	P. 1-2	<input checked="" type="checkbox"/>
Part 3. 銀行資料 Bank Account Information	P. 2	<input checked="" type="checkbox"/>
Part 4. 財務狀況 (應證監會規定) Financial Background (As required by SFC)	P. 2	<input checked="" type="checkbox"/>
Part 5. 投資目的及經驗 Investment Objectives and Experience	P. 2	<input checked="" type="checkbox"/>
Part 6. 結構性或衍生產品知識 Knowledge of Structured or Derivative Products	P. 3	<input checked="" type="checkbox"/>
Part 7. 身份聲明 Identity Declaration	P. 3-4	<input checked="" type="checkbox"/>
Part 8. 共同匯報標準-自我證明表格 Self-Certification for Common Reporting Standard	P. 4-5	<input checked="" type="checkbox"/>
Part 9. 帳戶操作 (只適用於聯名帳戶) Account Operation (For Joint Account only)	P. 5-6	(只適用於聯名帳戶) (For Joint Account only)
Part 10. 客戶聲明、確認及協議 Declarations, Confirmation and Agreement By Client	P. 6	P.8 客戶簽署 Client Signature
Part 11. 見證人資料 Witness Information	P. 6-8	見證人簽署 Witness Signature
所需證明文件 Supporting Documents		
1. 已核實的身份證或護照副本	Certified ID Card/Passport Copy	
2. 最近三個月內的住址證明文件副本	Address proof issued within 3 months	
3. W-8BEN 或 W-9 表格	W-8BEN/ W-9 form	
4. 僱主書面同意 (如適用)	Employer consent letter (if applicable)	
所需證明文件 (非在龍匯證券或聯繫人士的職員/代理人見證下簽署)		
Supporting Documents (If this account opening form is not executed by the client(s) in front of Topper Dragon Securities' employee.)		
1. 在香港持牌銀行開立的帳戶所簽發的支票 (如適用)	A cheque issued by a Hong Kong licensed bank (if applicable)	
➢ 數額不得少於 HK\$10,000	➢ With a sum not less than HK\$10,000	
➢ 須載有客戶在身份證明文件上所顯示之姓名	➢ Bearing your name identical to your identity documents.	
➢ 抬頭為「龍匯證券有限公司 – Clients' A/C」	➢ Payable to " Topper Dragon Securities Limited – Clients' A/C "	
➢ 客戶支票的簽名須與開戶表格上之客戶簽署相符	➢ Bearing your signature identical to the signature shown on the Account Opening Form.	
2. 見證人之身分證明文件及專業資格證書 (如適用)	Identity documents and professional license of the witness (if applicable)	