



華晉證券資產管理有限公司
China Rise Securities Asset Management Co. Limited

ACCOUNT OPENING FORM – INDIVIDUAL / JOINT ACCOUNT

開戶申請書 - 個人/聯名帳戶

Account type 賬戶類別

	Investment account 投資戶口	Offline 離線交易#	Online 網上交易	Account No. 帳戶號碼
China Rise Securities Asset Management Company Limited 華晉證券資產 管理有限公司	Cash 現金帳戶	<input type="checkbox"/>	<input type="checkbox"/>	
	Margin 保證金帳戶	<input type="checkbox"/>	<input type="checkbox"/>	
	Stock Options 股票期權帳戶	<input type="checkbox"/>	<input type="checkbox"/>	

Offline account is for phone – in trading only 離線交易戶口只限電話落盤

Account Opening Form – Individual / Joint Account

開戶申請書- 個人/聯名帳戶

Main Account Holder 主要戶口持有人		Joint Account Holder 聯名戶口持有人	
1. Name 姓名			
In Chinese 中文		In Chinese 中文	
In English 英文		In English 英文	
2. Residential Address 住宅地址 (if permanent address is different, please also provide 如永久地址並非相同,請同時提供)			
3. Personal Particulars 個人資料			
ID No. (or Passport No. and country of issue) 身份證號碼 (或護照號碼及簽發國家)		ID No. (or Passport No. and country of issue) 身份證號碼 (或護照號碼及簽發國家)	
Date of Birth 出生日期	Sex 性別	Date of Birth 出生日期	Sex 性別
Nationality 國籍		Nationality 國籍	
Born in the U.S. 於美國出生? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 U.S. citizen, green card holder, or residing in U.S.? 是否美國公民、 綠咭持有人、或居住於美國? If Yes, please provide Taxpayer Identification Number: 如是, 請提供美國納稅人識別號碼:		Born in the U.S. 於美國出生? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 U.S. citizen, green card holder, or residing in U.S.? 是否美國公民、 綠咭持有人、或居住於美國? If Yes, please provide Taxpayer Identification Number: 如是, 請提供美國納稅人識別號碼:	
Education Level 學歷 <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Post-Secondary 預科或大專 <input type="checkbox"/> University or above 大學或以上		Education Level 學歷 <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Post-Secondary 預科或大專 <input type="checkbox"/> University or above 大學或以上	
<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Housewife 主婦 <input type="checkbox"/> Others 其他_____		<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Housewife 主婦 <input type="checkbox"/> Others 其他_____	
Name of Employer (if self employed, name of business) 僱主名稱(若自僱, 請填寫業務名稱)		Name of Employer (if self employed, name of business) 僱主名稱(若自僱, 請填寫業務名稱)	
Business Address 公司地址		Business Address 公司地址	
Occupation(or Nature of Business) 職業(或業務性質)	Year(s) Employed 任職年期	Occupation(or Nature of Business) 職業(或業務性質)	Year(s) Employed 任職年期
Residential Phone 住宅電話	Business Phone 公司電話	Residential Phone 住宅電話	Business Phone 公司電話
Mobile Phone 手提電話	Facsimile No. 傳真號碼	Mobile Phone 手提電話	Facsimile No. 傳真號碼
Email Address (agree to receive BY EMAIL account correspondences, including but not limited to statements, contract notes and the like) 電郵地址 (同意以此電郵收取帳戶通訊包括但不限於結單、成交單據及同類文件)			
		(Mandatory for electronic trading 電子交易必須填寫)	
If you are applying for an electronic trading account, you are agreeing to receive password by e-mail. 如客戶申請電子交易戶口, 即同意經電郵收取“密碼” (Note 備註: Client's Authorization for Password Delivery as per ANNEX 3 就客戶之密碼傳遞授權請參閱附件三)			
Relationship between primary and secondary clients 聯名帳戶第一與第二帳戶持有人關係			

Correspondence Address (to receive **BY POST** account correspondences, including but not limited to statements, contract notes and the like)

通訊地址(以郵寄方式收取帳戶通訊包括但不限於結單、成交單據及同類文件)

Residential Address 住宅地址

Business Address 公司地址

Other Address 其他地址

Main Account Holder 主要戶口持有人

Joint Account Holder 聯名戶口持有人

4. Financial Background 財務狀況

Source of Funds / Wealth 資金/財富來源 (as required by SFC 就證監會要求)

Salary 薪金

Commission 佣金

Business Profits 業務盈利

Dividend / Interest Income 股息/利息收入

Investment Income 投資收入

Rent 租金

Others 其他

Salary 薪金

Commission 佣金

Business Profits 業務盈利

Dividend / Interest Income 股息/利息收入

Investment Income 投資收入

Rent 租金

Others 其他

Annual Income (in HK\$) 年薪(以港幣計算)

<= \$120,000

> \$120,000 - \$300,000

> \$300,000 - \$600,000

> \$600,000 - \$1,000,000

> \$1,000,000

<= \$120,000

> \$120,000 - \$300,000

> \$300,000 - \$600,000

> \$600,000 - \$1,000,000

> \$1,000,000

Approximate net value of my assets (in HK\$) (including real estates, cash deposits at Bank, shares, bonds, warrants)

資產淨值約值(以港幣計算)(包括物業、銀行存款、股票、債券、認股權證)

<= \$1,000,000

> \$1,000,000 - \$5,000,000

> \$5,000,000

<= \$1,000,000

> \$1,000,000 - \$5,000,000

> \$5,000,000

Main Account Holder 主要戶口持有人

5. Investment Objective 投資目標

Aggressive 進取

Growth 增長

Conservative 保守

Others (Please specify) 其他 (請註明)

6. Investment Time Horizon 投資年期

< 1 year 年

1-5 years 年

6-10 years 年

> 10 years 年

7. Investment Experience 投資經驗

Securities Trading 證券交易

Yes 有

year(s)年/

No 沒有

Futures / Options Trading 期貨/期權交易

Yes 有

year(s)年/

No 沒有

Stock Options 股票期權交易

Yes 有

year(s)年/

No 沒有

Forex / Commodity Futures Trading 外匯/商品期貨交易

Yes 有

year(s)年/

No 沒有

Bullion Trading 貴金屬交易

Yes 有

year(s)年/

No 沒有

Derivative Warrants 衍生權證交易

Yes 有

year(s)年/

No 沒有

Callable Bull/Bear Contracts 牛熊證交易

Yes 有

year(s)年/

No 沒有

Exchange Traded Funds 交易所買賣基金交易

Yes 有

year(s)年/

No 沒有

Equity Linked Instruments 股票掛鈎票據交易

Yes 有

year(s)年/

No 沒有

Mutual Funds / Unit Trust 互惠基金/單位信託基金

Yes 有

year(s)年/

No 沒有

Fixed Income Securities (e.g. Bonds) 固定收益證券(例如債券)

Yes 有

year(s)年/

No 沒有

Real Estate / Property Investment 房地產/物業投資

Yes 有

year(s)年/

No 沒有

8. Knowledge of Derivative Products 客戶對衍生產品的認識

(please tick as appropriate 請在適當空格加“✓”)

Client will/may trade any derivative products, and has knowledge in derivatives. Client has read and understood, and accepts, the **Explanation of Risks Associated with Exchange-Traded Derivative Products** provided by China Rise Securities Asset Management Company Limited and will be willing to accept the risks associated with trading derivative products. 客戶將會/或會進行買賣任何衍生產品,對衍生產品已有一定的認識,已閱讀、明白及接受由華晉證券資本管理有限公司所提供之“就在交易所買賣的衍生產品所附帶的風險說明”,並願意承擔買賣衍生產品所附帶之風險。

Client had undergone training or attended courses related to derivative products. 客戶曾接受有關衍生產品的培訓或修讀相關課程。

Client has current or past work experience related to derivative products. 客戶現時或過去擁有與衍生產品有關的工作經驗。

Client has executed 5 or more transactions in derivative products in the past 3 years, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures & Options, and Exchange Traded Funds adopting synthetic replication, etc. 客戶於過去三年內曾執行 5 次或以上有關衍生產品的交易,例如: 衍生權證、牛熊證、股票期權、期貨及期權、及合成複製策略的交易所買賣基金等。

Confirmed & Signed by Client 客戶確認及簽署: _____

Client DOES NOT WISH to trade any derivative products. 客戶不會買賣任何衍生產品。

9. Signing Arrangement 簽名安排

(for Joint Account only 只適用於聯名帳戶)

The Account can be operated, including fund withdrawal, under the instruction of (please tick the appropriate box):

此帳戶可根據以下指示方式操作，包括資金提取(請在適當空格加“✓”):

Either one of the account holders; or 任何一位帳戶持有人的指示;或 **Both** account holders 兩位帳戶持有人的指示

10. Payment Instruction (for fund withdrawal) 付款方式 (用作資金提取)

Name of Bank Account Holder 銀行帳戶持有人*

*A/C holder must bear the same name as this trading account
帳戶名稱必須跟本交易戶口持有人相同

Name of Bank 銀行名稱

Account No. 帳戶號碼

11. Other Services 其他服務

On-line Checking on Real-Time Price Quote Service 港股即時報價服務

Application form and details of the service will be provided to client if necessary. Please note that the service fee will be deducted from your account each calendar month. 如有需要，申請表格及資料會提供與客戶。此服務收費將會每月由閣下戶口中扣除

Main Account Holder 主要戶口持有人

Joint Account Holder 聯名戶口持有人

12. Disclosure of Identity 相關身份披露

Are you a director, an employee or a representative of an intermediary licensed/registered under the Securities and Futures Ordinance?

閣下是否為《證券及期貨條例》之下持牌/註冊的中介人的董事、僱員或代表?

No 否

Yes*, please specify the name of the intermediary:

是*,請列出該中介人名稱:

*Please attach a consent letter of account opening from the intermediary.請附上該中介人發出之開戶同意書。

Are you a director, an employee or a representative of an intermediary licensed/registered under the Securities and Futures Ordinance?

閣下是否為《證券及期貨條例》之下持牌/註冊的中介人的董事、僱員或代表?

No 否

Yes*, please specify the name of the intermediary:

是*,請列出該中介人名稱:

*Please attach a consent letter of account opening from the intermediary.請附上該中介人發出之開戶同意書。

Are you a relative of any director, employee or representative of China Rise Securities Asset Management Co. Limited?

閣下是否與華晉證券資產管理有限公司之任何董事、職員或代表有親屬關係?

No 否

Yes, the name of the director, employee or representative and relationship with him/her

是,請列出該董事、職員或代表之名稱及與此人之關係

Are you a relative of any director, employee or representative of China Rise Securities Asset Management Co. Limited?

閣下是否與華晉證券資產管理有限公司之任何董事、職員或代表有親屬關係?

No 否

Yes, the name of the director, employee or representative and relationship with him/her

是,請列出該董事、職員或代表之名稱及與此人之關係

Are you, your spouse, child, or parent entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and an important political party official?

閣下、配偶、子女或父母,是否擔任重要公職,包括國家元首、政府首長、司法或軍事官員、國有企業高級行政人員及重要政黨幹事?

No 否

Yes, please specify:

是,請說明: _____

Are you, your spouse, child, or parent entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and an important political party official?

閣下、配偶、子女或父母,是否擔任重要公職,包括國家元首、政府首長、司法或軍事官員、國有企業高級行政人員及重要政黨幹事?

No 否

Yes, please specify:

是,請說明: _____

13. Identity of Person(s) Ultimately Responsible for Originating the Instructions in relation to a Transaction**最終負責發出交易指示人士的身份**

Are you the person who is ultimately responsible for originating the instructions in relation to a transaction? Yes 是

閣下是否最終負責發出交易指示的人士?

No, the person who is ultimately responsible for originating the instructions in relation to a transaction is:

否, 最終負責發出交易指示的人士是: _____

ID/Passport No. and country of issue 身份證/護照號碼及簽發國家: _____

Residential address 住宅地址: _____

Occupation (or nature of business) & address 職業(或業務性質)及地址: _____

Relationship with the person who is ultimately responsible for originating the instructions in relation to a transaction:

與最終負責發出交易指示人士之關係: _____

14. Identity of Ultimate Beneficial Owner(s) of the Account 帳戶最終實益擁有人的身份

Are you the ultimate beneficial owner(s) who stand(s) to gain the commercial or economic benefit of the transactions and/or bear its commercial or economic risk? 閣下是否將會從交易取得商業或經濟利益及/或承擔其商業或經濟風險之最終實益擁有人? Yes 是

No, the name of the ultimate beneficial owner 否,最終實益擁有人名稱: _____

ID/Passport No. and country of issue 身份證/護照號碼及簽發國家: _____

Residential address 住宅地址: _____

Occupation (or nature of business) & address 職業(或業務性質)及地址: _____

Relationship with ultimate beneficial owner 與最終實益擁有人之關係: _____

15. Authorized Person 獲授權人

Has any person been authorized to give instructions in relation to all transactions? No 否

閣下是否已授權任何人士作出有關交易指令?

Yes, please refer to attached Letter of Authorization and Information Statement of Authorized Person.

是,請參閱附上之授權書及獲授權人資料表。

16. Disclosure of Group Related Margin Clients* 關連保證金客戶聲明***(for Margin Account only 只適用於保證金帳戶)**

For the purpose of complying with the requirements of Financial Resources Rules (“FRR”) in regards to “Group of Related Margin Clients”*,

I/We _____

(A/C No. _____) hereby declare that:

為符合財政資源規則下有關一組連保證金客戶*的要求, 本人/吾等 _____

(帳戶號碼: _____)特此聲明:

I/We do not have / have related margin account(s) with China Rise Securities Asset Management Co. Ltd. If you have, pls state:

本人/吾等 沒有 / 持有 任何關連保證金戶口於華晉證券資產管理有限公司。如有,請說明:

Account No. 帳戶號碼

Name 名稱

Relationship 關係

*“Group of Related Margin Clients” as defined in FRR means: (a) where it is a group of two margin clients, one is the spouse of the other, (b) where one or more of the margin clients are corporations, one is in control, either alone or with his/her spouse, of 35% or more of the voting rights of that other margin client or each of the other margin clients; or (c) where the margin clients are corporations, they are members of the same group of companies.

*財政資源規則所定義的「一組關連保證金客戶」是指: (a) 如該組只有 2 名保證金客戶,其中一名保證金客戶是另一名的配偶; (b) 如該等保證金客戶中有一名或多於一名是法團,其中一名保證金客戶單獨或與其配偶控制其餘的一名或每名保證金客戶的 35% 或以上的表決權; 或(c) 如該等保證金客戶均為法團,該等保證金客戶是同一公司集團的成員。

17. Declaration and Acknowledgment 聲明及確認

I/We declare and acknowledge that: 本人/吾等聲明及確認:

1. I/We confirm that all information written on the Account Opening Form is true, complete and correct.

本人/吾等確認開戶申請書所載之資料乃真實、完整及正確。

2. I/We have received from **China Rise Securities Asset Management Co. Limited** the Client Agreement including the Terms and Conditions for trading of **securities**, Risk Disclosure Statements, Disclaimers, and the Circular to Clients relating to Personal Data (Privacy) Ordinance in a language of my / our choice, and was/were invited to read, ask questions and take independent advice if I/we wish.

本人/吾等已收悉本人/吾等所選擇的語言的**華晉證券資產管理有限公司**客戶協議書,內附**證券**交易之條款及細則、風險披露聲明、免責聲明及關於個人資料(私隱)條例客戶通告,並已獲邀閱讀、提出問題及尋求獨立意見如本人/吾等有此意願。

3. I/We have read and fully understood the Terms and Conditions of the above Agreement(s) and relevant Risk Disclosure Statements. I/We accept the Terms and Conditions and agree to be bound by them.

本人/吾等已閱讀及完全明白該協議書內之條款及細則,以及相關的風險披露聲明。本人/吾等接受有關之條款及細則,並同意受其約束。

4. I/We have carefully considered the Risk Disclosure Statements and recognize that trading in securities involves a high degree of risks.

Considering my/our financial position and investment objectives, I/we confirm that I/we am/are financially able to assume such risks and to sustain any losses resulting from such trading.

本人/吾等已仔細考慮風險披露聲明及了解進行證券買賣所涉及之高風險。考慮到本人/吾等的財務狀況和投資目標,本人/吾等確認本人/吾等之財政能承擔該等交易帶來之風險及承受其帶來之任何損失。

5. **[For Joint Account]** We declare and confirm that each of the account holders may give instructions (including fund withdrawal), unless otherwise specified in “Signing Arrangement” section of this Account Opening Form, or notified in writing signed by all of us to the Broker.

[適用於聯名帳戶] 除非於此開戶申請書內之“簽名安排”部份說明,或經紀商獲得所有帳戶持有人以書面通知而另有安排,吾等聲明及確認每一帳戶持有人均可給予指示(包括資金提取)。

6. **[For Margin Account]** I/We have read and understood the content of the **Authorization for Client Securities** (as per ANNEX 1), i.e. the “Standing Authority” for Margin Account and am/are aware of the relevant risks in providing you with such authority. I/We understand that such authority will be renewed annually under the regulatory requirement and agree to be bound by its terms.

[適用於保證金帳戶] 本人/吾等已閱讀及明白於附件一之「**客戶證券授權書**」的內容,即就多個帳戶作出的“常設授權”,同時亦了解其相關的風險就所作出的授權。本人/吾等明白此授權會按照監管要求下每年續期,並同意接受該授權書內的條款所約束。

7. **[For multiple accounts]** I/We have read and understood the content of the **Authorization for Client Money** (as per ANNEX 2), i.e. the “Standing Authority” for fund transfers between 2 or more trading accounts. I/We understand that such authority will be renewed annually under the regulatory requirement and agree to be bound by its terms.

[適用於多個帳戶] 本人/吾等已閱讀及明白於附件二之「**客戶款項授權書**」的內容,即就多個帳戶作出的“常設授權”,以便利客戶於其兩個或以上的交易帳戶內作資金調配。本人/吾等明白此授權會按照監管要求下每年續期,並同意接受該授權書內的條款所約束。

8. **[For Electronic Trading]** I/We have requested and authorized China Rise Securities Asset Management Co. Ltd. to generate and (if applicable) re-generate and deliver my/our password(s) for electronic trading by way of email to me/us at my/our email address(es) provided in the account application. I/We have read and understood, and agree to, the content of the **Authorization for Password Delivery by E-mail** (as per ANNEX 3). I/We have sought, or have had the opportunity to seek, independent legal advice concerning the content and effect of such authorization, and agree to solely bear the risks associated with.

[適用於電子交易] 本人/吾等已要求和授權華晉證券資產管理有限公司發出及重發(如適用)本人/吾等之網上交易密碼,及利用電郵傳遞往本人/吾等於開戶申請表上所提供之一個或多個電郵地址。本人/吾等已閱讀及完全明白及同意於附件三之「**經電郵傳遞交易密碼授權書**」之內容,及就該授權之內容及效力,已尋求或已有機會尋求獨立法律意見,並同意獨自承擔所選擇收取密碼的方式之關連風險。

9. I/We acknowledge and confirm that I/we must (i) observe any possible tax consequences and (ii) comply with any legal requirements and foreign exchange restrictions or exchange control requirements with might be applicable under the laws of the countries of my/our incorporation, citizenship, residence and/or domicile and which might be relevant to the purchase, holding or disposal of securities.

本人/吾等知悉及確認本人/吾等必須遵守本人/吾等登記註冊國、國籍國、居住國及/或居籍國的法律之下可能適用的與購買、持有及沽售證券的資產相關的(i) 可能產生的任何稅務後果及(ii) 法律規定及外匯限制或管制規定。

Use of Personal Data For Direct Marketing 直接促銷中個人資料的使用

10. I/We understand and **AGREE** that China Rise Securities Asset Management Co. Limited may use or transfer my/our personal data (e.g. name, contact details and age group, etc.) for sending promotional or other materials and direct marketing of financial services, products, goods or facilities to members of CRSAMCL and/or entities outside CRSAMCL which are their business partners in financial or related services, for which CRSALCL may receive gain. I/We can change my/our instructions at any time by providing written notice to CRSALCL. In case CRSAMCL receives any conflicting instructions from me/us regarding the use or transfer of my/our personal data, the instruction given at the latest date shall prevail.

本人/吾等明白及**同意**華晉證券資產管理有限公司,或會使用或轉移本人/吾等的個人資料(例如姓名、聯絡資料及年齡組別等)至華晉證券資產管理有限公司及/或集團以外提供金融或相關服務的合作伙伴以作傳送推廣或其他資料及直接促銷金融服務、產品、商品或設施之用途,而華晉證券資產管理有限公司或會就此獲取得益。若本人/吾等不同意本人/吾等的個人資料之使用或轉移,本人/吾等可隨時透過書面方式,向華晉證券資產管理有限公司更改指示。若華晉證券資產管理有限公司就本人/吾等的個人資料的使用或轉移收到本人/吾等不一致的指示,則以最後日期所提供的指示為準。

I/We **DO NOT AGREE** (please tick if applicable) to the use or transfer of my/our personal data for direct marketing purposes.
本人/吾等 **不同意**(請於方格內加上「✓」如適用) 本人/吾等的個人資料被使用或與之有關的轉移作為直接促銷之用途。

At any time in the future, Client may inform China Rise Securities Asset Management Co. Limited if Client wishes to opt-out of the use of his/her personal data for any of the direct marketing purposes. For details, please refer to China Rise Securities Asset Management Co. Limited's **Personal Information Collection Statement**.

在將來任何情況下,如客戶不欲收到任何華晉證券資產管理有限公司之服務或產品宣傳或直銷推廣,可聯絡我們並要求加入拒收推廣訊息名單。詳情請參閱華晉證券資產管理有限公司的**個人資料收集聲明**。

<p>Signed by 經由客戶簽署: Name of Client(s) 客戶名稱</p> <p>1. _____</p> <p>2. _____</p>	<p>_____ Signature of Individual Client 個人客戶簽署</p> <p>_____ Signature of Joint Client 聯名客戶簽署</p>
<p>in the presence of 見證人:</p> <p>_____ Name of Witness# 見證人名稱#</p> <p>_____ Profession/Occupation 專業/職業</p> <p>_____ Name of Company 公司名稱</p> <p>_____ Company Address 公司地址</p> <p>Acknowledged and Accepted by China Rise Securities Asset Management Company Limited 經由華晉證券資產管理有限公司承認及接納</p>	<p>_____ Signature of Witness 見證人簽署</p> <p>_____ Authorized Signature(s) 獲授權簽署</p>

Date 日期: _____ day (日) of _____ month (月) of _____ year (年)

Witness should be a licensed or registered person, an affiliate of a licensed or registered person, a Justice of the Peace, or a professional such as a branch manager of a bank, certified public accountant, lawyer, notary public, or an officer of an embassy, consulate or high commission of the country of issue of documentary verification of identity. 見證人應為持牌或註冊人士、持牌或註冊人士的聯繫人士、太平紳士或專業人士,例如銀行分行經理、執業會計師、律師、公證人,或發出身份核實文件的國家的大使館、領事館或高級專員公署的人員。

Declaration by Licensed Representative 持牌代表聲明

I have provided the Risk Disclosure Statements for dealing in **securities and/or futures** and fully explained the contents of the relevant risk disclosure statements (including the **Explanation of Risks Associated with Exchange-Traded Derivative Products** – applicable to Securities Account) to _____ (Name of client(s)) at 10th Floor, Island Place Tower, 510 King's Road, North Point, Hong Kong / _____ / (address where the explanation took place) / through a recording-telephone in a language which the client fully understands and have invited the client to read the risk disclosure statements, ask questions and take independent advice if the client so wishes.

本人已於香港北角英皇道 510 號港運大廈 10 樓 / _____ / (進行解釋的地址) / 透過電話錄音,按客戶明白的語言向 _____ (客戶名稱)就買賣證券及/或期貨提供風險披露聲明書及全面解釋風險披露聲明(包括)就在交易所買賣的衍生產品所附帶的風險說明-適用於證券帳戶的內容,並已邀請客戶閱讀該風險披露聲明書,提出問題及尋求獨立意見(如客戶有此意願)。

Signed by licensed representative 持牌代表簽署

CE Number 中央編號

Name if licensed representative (in block letters)持牌代表名稱(正楷)

Date 日期

To: China Rise Securities Asset Management Company Limited

Authorization for Client Securities
(Standing Authority under the Securities and Futures (Client Securities) Rules)

This authority covers the securities or securities collateral received or held by you on my/our behalf. Unless otherwise defined, all the terms used in this Authorization shall have the same meanings as defined in the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules as amended from time to time.

I/We authorize you to:

1. apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement;
2. deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you; or
3. deposit any of my/our securities collateral with
 - (i) a recognized clearing house; or
 - (ii) another intermediary licensed or registered for dealing in securities,as collateral for the discharge and satisfaction of your settlement obligations and liabilities.

You may do any of these things without giving me/us notice.

You are accountable to me/us for the return of equivalent securities deposited under this authority after full repayment by me/us of all my/our outstanding loans under the facility.

I/We understand that a third party may have a lien or charge on my/our securities or securities collateral, which you must satisfy before my/our securities or securities collateral can be returned to me/us.

I/We am/are aware that there is risk if I/we provide you with an authority that allows you to apply my/our securities or securities collateral pursuant to a securities borrowing and lending agreement, repledge my/our securities collateral for financial accommodation or deposit my/our securities collateral as collateral for the discharge and satisfaction of your settlement obligations and liabilities.

I/We acknowledge and agree that the authority shall be valid for a period of not more than 12 months and will expire at the end of not more than 12 months from the approval date of the account opening. I/We understand that the authority shall be deemed to be renewed for subsequent periods of not more than 12 months on a continuing basis without my/our written consent if you give me/us a written reminder at least 14 days prior to the expiry date and I/we do not object to such deemed renewal before the expiry date. I/We understand that I/we may revoke this authority by giving you at least five trading days' prior written notice. However, you may, in your absolute discretion, treat the revocation notice as having immediate effect upon your receipt.

In the event of any discrepancy between the English and Chinese version of this Authorization, I/we agree that the English version shall prevail.

I/We have read and understood the contents of this Authorization and agree to be bound by its terms.

附件一
(只適用於保證金帳戶)

致: 華晉證券資產管理有限公司

客戶證券授權書
(根據《證券(客戶證券)規則》作出的常設授權)

本授權書是關於貴公司代表本人/吾等接收或持有的證券或證券抵押品。除另有說明外,在本授權書內的所有用語應具有經不時修訂的《證券及期貨條例》及《證券及期貨(客戶證券)規則》所定義的相同意思。

本人/吾等授權貴公司:

1. 依據證券借貸協議運用本人/吾等的任何證券或證券抵押品;
2. 將本人/吾等的任何證券抵押品存放於認可的財務機構,作為提供予貴公司的財務通融的抵押品;或
3. 將任何本人/吾等證券抵押品存放於 (i) 一家認可的結算所;或 (ii) 獲發牌或獲註冊進行證券交易的另一中介人,作為貴公司履行交收義務與責任的抵押品。

貴公司可毋須通知本人/吾等而進行上述各項。

當本人/吾等全數償還信貸安排下的所有未清償的貸款後,貴公司須負責向本人/吾等歸還在此授權下存放的相等證券。

本人/吾等明白,本人/吾等的證券或證券抵押品可能受制於第三者之留置權或押記,貴公司必須先行了結有關留置權或押記,方可將本人/吾等的證券或證券抵押品歸還本人/吾等。

本人/吾等知悉,本人/吾等若授權貴公司,准許貴公司依據證券借貸協議運用本人/吾等的任何證券或證券抵押品,或准許貴公司再質押本人/吾等的證券抵押品以取得財務通融,或准許貴公司存放本人/吾等的證券抵押品作為貴公司履行交收義務與責任的抵押品,如此授權是帶有風險的。

本人/吾等確認並同意,此授權有效期為不多於 12 個月,將由開戶申請獲批准後不多於 12 個月結束時屆滿。本人/吾等明白,若貴公司在屆滿日之前至少 14 日給予本人/吾等續期通知書而本人/吾等在屆滿日之前沒有表示反對續期,則此授權將視為毋須本人/吾等書面同意而其後續期不多於 12 個月。本人/吾等明白,本人/吾等可給予貴公司至少五個交易日的預先書面通知,撤銷此授權。但是,貴公司有絕對酌情決定權將撤銷授權通知書視為於貴公司收訖時隨即生效。

若本授權書的英文版本及中文版本在內容上有任何歧異,本人/吾等同意以英文版本為準。

本人/吾等已閱讀及明白本授權書的內容,並同意受本授權書的內容約束。

To: China Rise Securities Asset Management Company Limited (“CRSAMCL”)

Authorization for Client Money

(Standing Authority under the Securities and Futures (Client Money) Rules)

This authority covers monies received or held by you in one or more segregated account(s) on my/our behalf (“Monies”). Unless otherwise defined, all the terms used in this Authorization shall have the same meanings as defined in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time. Segregated account(s) include any account(s) designated as client account(s) established and maintained in Hong Kong in accordance with the Securities and Futures (Client Money) Rules or account(s) designated as client account(s) established and maintained outside Hong Kong.

I/We authorize you to:

1. combine and consolidate any or all segregated accounts of my/our name maintained by you and/or any of your subsidiaries or affiliates from time to time, and transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to CRSAMCL, whether such obligations or liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several; and
2. transfer any sum of Monies interchangeably between any of segregated accounts maintained at any time by CRSAMCL in or outside Hong Kong.

You may do any of these things without giving me/us notice.

This authority is given without prejudice to other authorities or rights which you may have in relation to dealing in Monies in the segregated accounts.

I/We acknowledge and agree that the authority shall be valid for a period of not more than 12 months and will expire at the end of not more than 12 months from the approval date of the account opening. I/We understand that the authority shall be deemed to be renewed for subsequent periods of not more than 12 months on a continuing basis without my/our written consent if you give me/us a written reminder at least 14 days prior to the expiry date and I/we do not object to such deemed renewal before the expiry date. I/We understand that I/we may revoke this authority by giving you at least five trading days’ prior written notice. However, you may, in your absolute discretion, treat the revocation notice as having immediate effect upon your receipt.

In the event of any discrepancy between the English and Chinese version of this Authorization, I/we agree that the English version shall prevail. I/We have read and understood the contents of this Authorization and agreed to be bound by its terms.

(Remarks: This authority does not authorize you to transfer Monies between individual accounts and joint accounts. Any such transfer must be separately authorized by all holders of the relevant account to be debited.)

附件二
(適用於多個帳戶)

致: 華晉證券資產管理有限公司(「華晉」)

客戶款項授權書

(根據《證券及期貨(客戶證券)規則》作出的常設授權)

本授權書是關於貴公司代表本人/吾等在一個或多個獨立帳戶內收取或持有的款項(下稱「款項」)。除另有說明外,在本授權書內的所有用語應具有經不時修訂的《證券及期貨條例》及《證券及期貨(客戶證券)規則》所定義的相同意思。獨立帳戶包括根據《證券及期貨(客戶證券)規則》在香港境內開立及維持並指定為客戶帳戶的任何帳戶,或在香港境外開立及維持並指定為客戶帳戶的任何帳戶。

本人/吾等授權貴公司:

1. 組合及合併在貴公司及/或貴公司的任何附屬或相關聯公司不時維持的、以本人/吾等名義開立的任何或全部獨立帳戶,以及將任何數額的款項轉移至該等獨立帳戶或在該等帳戶之間作出轉移,以抵償本人/吾等對華晉的義務或法律責任,不論該等義務或法律責任是確實還是或然的、原有或附帶的、有抵押或無抵押的、共同或各別的;及
2. 在華晉於任何時候在香港境內或境外維持的任何獨立帳戶之間調動任何數額的款項。

貴公司可毋須通知本人/吾等而進行上述各項。

此賦予貴公司的授權並不損害貴公司享有的有關處理獨立帳戶內款項的其他授權或權利。

本人/吾等確認並同意,此授權有效期為不多於 12 個月,將由開戶申請獲批准後不多於 12 個月結束時屆滿。本人/吾等明白,若貴公司在屆滿日之前至少 14 日給予本人/吾等續期通知書而本人/吾等在屆滿日之前沒有表示反對續期,則此授權將視為毋須本人/吾等書面同意而接續地續期,每次續期期間為不多於 12 個月。本人/吾等明白,本人/吾等可給予貴公司至少五個交易日的預先書面通知,撤銷此授權。但是,貴公司有絕對酌情決定權將撤銷授權通知書視為於貴公司收訖時隨即生效。

若本授權書的英文版本及中文版本在內容上有任何歧異,本人/吾等同意以英文版本為準。本人/吾等已閱讀及明白本授權書的內容,並同意受本授權書的內容約束。

(備註: 此授權並不適用於在個人帳戶及聯名帳戶之間轉移款項。)

To: China Rise Securities Asset Management Co. Limited (“CRSAMCL”)

Authorization for Password Delivery by E-mail

I/We, the undersigned Applicant/Client, hereby request and authorize CRSAMCL to generate and (if applicable) re-generate and deliver my/our password(s) for electronic trading (“PW”)* by way of email to me/us at my/our email address(es) provided in the Account Application submitted by me/us to CRSAMCL (“specified email address(es)”)**.

I/We acknowledge that there are risks associated with my/our above selected means of receiving the PW and agree to solely bear all such risks, including (without limitation) the risks of transmission error, delay, unauthorized disclosure and unauthorized use in respect of the PW. I/We acknowledge and agree that once a PW is deemed receipt*** by me/us, I/we shall be the only authorized user(s) of such PW. I/We shall be solely responsible for the confidentiality, protection and use of the PW. I/We acknowledge and agree that I/we shall be solely responsible for all instructions/offers placed by using the PW (including all transactions and actions that occur or are taken subsequent to or as a consequence of such instructions/offers) and CRSAMCL shall not have any liability to me/us or any third party for any loss, damages, expense, cost, claim or liability of whatsoever nature, directly or indirectly, arising out of or in connection with any such instruction/offer and/or the handling, inaccurate or incomplete transmission, delay in transmission, loss or loss of confidentiality, of the same. Further, I/we agree at all times on demand to indemnify and keep indemnified CRSAMCL from and against all liabilities costs and expenses of any nature whatsoever reasonably incurred by it arising from or in any way related to its reliance and/or acting on this Authorization (including any email address provided by me/us).

If I/we give an instruction/offer to CRSAMCL outside Hong Kong, I/we agree to ensure and represent that such instruction/offer will have been given in compliance with any applicable law of the relevant jurisdiction from which such instruction/offer is given, and I/we further agree that I/we shall, when in doubt, consult legal and other professional advisers of the relevant jurisdiction. I/We accept that there may be taxes or charges payable to relevant authorities in respect of any instruction/offer given outside Hong Kong, and I/we agree to pay such taxes or charges as applicable. I/We acknowledge that this Authorization will become effective on the date of CRSAMCL’s approval of sending the PW in accordance with the terms hereof, which approval may or may not be given by CRSAMCL in its absolute discretion.

*I/We acknowledge and agree that I/we am/are required, immediately upon receipt, to change each PW to a unique and hard-to-duplicate one.

**This Authorization shall apply to each subsequent request by me/us for regenerating PW and I/we agree that CRSAMCL may send PW to the specified email address(es) and/or such other email address(es) as subsequently notified by me/us to CRSAMCL in accordance with the notice provisions contained in the Client Agreement(s) And Schedules (as amended from time to time)(“Client Agreement(s)”) I/We consent that CRSAMCL may use any or all of the specified email address(es) and/or such other email address(es) subsequently so notified by me/us to CRSAMCL as aforesaid for the purpose(s) contemplated under the Client Agreement(s) (e.g. giving other information, documents or notices to or communicating with me/us).

***I/We acknowledge and agree that each PW shall be deemed to have been received by me/us immediately upon dispatch.

This Authorization shall form part of the Client Agreement(s). In this Authorization, unless otherwise stated in the context hereof, words and expressions defined in the Client Agreement(s) shall have the same meanings herein; and terms in the singular shall include the plural and vice versa. If the undersigned Applicant/Client comprises more than one person, such persons shall be jointly and severally responsible for all liabilities of the undersigned Applicant/Client hereunder. In case of any inconsistency between this Authorization and the Client Agreement(s), insofar as the subject matter hereof is concerned, this Authorization shall prevail but only to the extent of such inconsistency. Should there be any inconsistency between the English and Chinese versions of this Authorization, the English version shall prevail.

I/We fully understand and agree the contents of this Authorization and have sought, or have had the opportunity to seek, independent legal advice concerning the contents and effect of this Authorization.

附件三
(只適用於電子交易服務)

致: 華晉證券資產管理有限公司(「華晉」)

經電郵傳遞交易密碼授權

本人/吾等,乃以下簽署之申請人/客戶,現要求並授權華晉發出及重發(如適用)本人/吾等之網上交易密碼(「密碼」)*及利用電郵傳遞往本人/吾等於本人/吾等交予華晉之開戶申請表上所提供之一個或多個電郵地址(「指定電郵地址」)**。

本人/吾等確認上述所選擇收取密碼的方式有其關連風險,並同意獨自承擔所有該等風險,包括(但不限於)關於密碼之傳輸錯誤、延遲、未獲授權披露及使用之風險。本人/吾等確認並同意一旦密碼被視為已被本人/吾等收取***,本人/吾等即為密碼的唯一獲授權使用者。本人/吾等須對密碼的保密、保護及使用承擔全部責任。本人/吾等承認及同意,本人/吾等須對使用密碼發出的所有指示/要約負全責(包括所有該等指示/要約其後或因按該等指示/要約而執行或發生之交易及行動),同時,直接或間接由於或關於任何該等指示/要約及/或其處理、不準確或不完整傳輸、延遲傳輸、遺失或失卻保密性而產生之任何損失、損害賠償、費用、支出、申索或責任(不論任何性質),華晉皆不會對本人/吾等或任何第三方負責。再者,本人/吾等同意時刻按華晉要求彌償華晉因或任何情況下相對於其依賴此授權(包括本人/吾等提供之任何電郵地址)及/或據其行事而合理地招致之所有責任、費用及開支(不論任何性質),並確保六福免受損害。

若本人/吾等在香港以外地區向華晉發出任何指示/要約,本人/吾等同意確保及陳述並聲明,該指示/要約將已遵守該指示/要約發出所在的相關司法管轄區的任何適用法律。本人/吾等再進一步同意:本人/吾等有疑問時,會諮詢相關司法管轄區的法律及其他專業顧問。本人/吾等接受在香港以外地區發出的指示/要約,可能需向相關當局支付相關稅項或費用,本人/吾等同意支付該等適用稅項或費用。本人/吾等確認此授權將於華晉批准根據本文條款發出密碼之日生效,而華晉具酌情權予以決定是否作出該批准。

*本人/吾等確認並同意: 本人/吾等必須於收到密碼時立即更改密碼使之成為一獨特並難以模仿的密碼。

**此授權將適用於本人/吾等嗣後每次要求重發密碼之要求,及本人/吾等同意: 華晉可將密碼傳遞往任何一個或多個或所有指定電郵地址及/或本人/吾等其後按客戶協議及附件(及其/其等不時修訂版)(「客戶協議」)內載的通知條文通知華晉的一個或多個其他電郵地址。本人/吾等同意華晉可使用一個或多個或所有指定聯絡手機號碼及/或本人/吾等其後如上通知華晉的一個或多個電郵地址作客戶協議所預期之一種或多種用途(例如給予本人/吾等其他資料、文件或通知或與本人/吾等通訊)。

***本人/吾等確認並同意在每一個密碼發出時,該密碼將立即被視為已被本人/吾等收取。

此授權將成為客戶協議之一部份。於此授權內,除非本文另有所指,客戶協議內定義之詞語將於此具相同解釋,而凡指單數之詞語,其釋義將包含眾數,反之亦然。若以下簽署之申請人/客戶乃多於一人,該等人士將共同及各別負責以下簽署之申請人/客戶於本文項下之所有責任。倘若客戶協議與此授權有任何不同之處,就本文標的事宜而言,當以此授權為準但只限該不同之處。若此授權之中、英文版本有任何不同之處,當以英文版本為準。

本人/吾等完全明白及同意此授權之內容及就此授權之內容及效力,已尋求或已有機會尋求獨立法律意見。

Personal Information Collection Statement

1. From time to time, it is necessary for clients to supply China Rise Securities Asset Management Co. Limited (referred as “China Rise”) with personal data in connection with the opening or continuation of accounts and the establishment or continuation of credit facilities or provision of securities brokerage, wealth management, financial planning, nominee, investment advisory and/or other relevant services. At time same time, some of the data are collected pursuant to laws, regulations, rules or codes binding on China Rise. This may include but will not be limited to information obtained in relation to client’s identity (name, date of birth, passport/identity card number, address(es), marital status, education level and employment information), as well as information collected for the purposes of ascertaining client’s financial profile, risk appetite, income (including sources of income) and net worth. This Statement is made under the Personal Data (Privacy) Ordinance (“PDPO”) to let clients know why personal data are to be collected, how the data are to be used, and to whom data access requests are to be addressed.
2. Failure to supply such personal data may result in China Rise being unable to open or continue accounts or establish or continue credit facilities or provide securities brokerage, wealth management, financial planning, nominee, investment advisory and/or other relevant services.
3. It is also the case that the data are collected from clients in the ordinary course of the continuation of the business relationship.

Collection and Use of Personal Data

4. China Rise collect, use and transfer personal information for any or all of the following purposes:
 - 4.1 Processing account application, providing daily operation of services and credit facilities to clients;
 - 4.2 Conducting credit checks;
 - 4.3 Assisting other financial institutions to conduct credit checks;
 - 4.4 Designing financial services or related products for clients’ use, including wealth management, financial planning, insurance and/or Mandatory Provident Fund (MPF) if applicable;
 - 4.5 Facilitating payment arrangements or instructions;
 - 4.6 Ensuring the ongoing creditworthiness of client or any surety;
 - 4.7 Maintaining credit history of any surety or client for present and future reference;
 - 4.8 Handling of any checking procedure related to client’s application and related claims;
 - 4.9 Verifying client’s eligibility to apply for financial services or related products, insurance and/or MPF related products (if applicable);
 - 4.10 Compilation of statistics and research analysis, and improve the provision of services by China Rise, subject to applicable laws;
 - 4.11 Providing client with marketing materials relating to financial services or related products, insurance and/or MPF related products (if applicable) concerning China Rise and any other entities within China Rise or partnering financial institutions (collectively referred as “Related Parties”);
 - 4.12 Communication with customers, prospective customers of China Rise;
 - 4.13 Performing policy review and needs analysis and/or MPF suitability assessment (if applicable);
 - 4.14 Matching with other personal data concerning client and/or the relevant participating employers and/or members for financial planning and/or MPF (if applicable) related purposes; determining the amount of indebtedness owed to or by clients;
 - 4.15 Collection of amount outstanding from clients and those providing security for clients’ obligations;
 - 4.16 Meeting the requirements to make disclosure under the requirements of any laws, regulations, rules, codes binding on China Rise;
 - 4.17 Seeking or obtaining administrative, telecommunications, computer, payment, debt collection or securities clearing, custodian, audit, banking, financing, insurance, business consulting, outsourcing, or other services to China Rise in connection with the operation of its business;
 - 4.18 Any purpose permitted by all laws, rules and regulations in Hong Kong;
 - 4.19 Any other purposes as notified to client at the time of collection; and
 - 4.20 Any other lawful purposes ancillary or relating thereto.

Use of Personal Data in Direct Marketing

- 4.21 Conducting direct marketing activities of financial services or related products, insurance and/or MPF products (if applicable) relating to China Rise and Related Parties, subject to applicable laws and the terms and conditions of client agreement;
- 4.22 if client has consented (including an indication of no objection) to the use of client’s personal data for direct marketing purposes by members of the China Rise and/or entities outside China Rise in the client account application (or other relevant registration forms and questionnaires if applicable), marketing the following services, products, goods and facilities:
 - 4.22.1 Financial services;
 - 4.22.2 Related investment products;
 - 4.22.3 Financial and investment advice;
 - 4.22.4 Client relationship management services;
 - 4.22.5 Client credit protection and maintenance services; and/or
 - 4.22.6 Any other related goods, products or services that China Rise may develop under paragraph 4.4 of this Statement, unless client instructs China Rise otherwise, and seeking or obtaining the same.

Transfer of Personal Data

5. Data held by China Rise relating to a client will be kept confidential but China Rise may provide such information to the following parties within or outside Hong Kong to the extent permitted by law:
 - 5.1 Any agent, contractor or third party service provider who provides administrative, telecommunications, computer, payment or securities clearing, printing or other services to China Rise in connection with the operation of its business;
 - 5.2 Any other companies within China Rise;
 - 5.3 Any other person under a duty of confidentiality to China Rise including a member of China Rise which has undertaken to keep such information confidential;

- 5.4 Any financial institution with which the client has or proposes to have dealings;
 - 5.5 Any actual or proposed assignee of China Rise or participant or sub-participant or transferee of China Rise's rights in respect of the client;
 - 5.6 Any financial institution or other service providers rendering services to China Rise in connection with the operation of China Rise businesses;
 - 5.7 Any person acting or proposing to act as surety;
 - 5.8 Any insurance claim investigators;
 - 5.9 Third party administrators;
 - 5.10 Professional advisors;
 - 5.11 Any persons and corporate entities to whom China Rise is obliged to disclose under the requirement of any law relating to China Rise or its affiliates or business partners;
 - 5.12 Any other parties as notified to client at the time of collection;
 - 5.13 Any person in accordance with the Laws including through or pursuant to any rules, judgment, decision or ruling of the courts, arbitral tribunals, Financial Dispute Resolution Centre Limited, governmental, regulatory or other bodies or institutions, whether as required by the Laws that are applicable to any member of China Rise, or otherwise, or any company issuing a notice under section 329 of the Securities and Futures Ordinance;
 - 5.14 Any other person when we are compelled to make disclosure under the requirements of any laws binding on China Rise;
 - 5.15 Any person with the client's consent; and
 - 5.16 Any person in the event that China Rise's interests require disclosure.
6. In the course of performing our duties, China Rise may, as permitted by law, match, compare, transfer or exchange any personal data provided by the client, or hereafter obtained, for those or any other purposes by China Rise, with data held by government bodies, other regulatory authorities, corporations, organizations or individuals in Hong Kong or overseas for the purpose of verifying those data.
 7. Under and in accordance with the terms of the PDPO, any individual:
 - 7.1 Has the right to check whether China Rise holds data about him/her and the right of access to such data;
 - 7.2 Has the right to require China Rise to correct any data relating to him/her which is inaccurate; and
 - 7.3 Has the right to ascertain China Rise policies and practices in relation to data and to be informed of the kind of personal data held by China Rise.
 8. In accordance with the terms of the PDPO, China Rise has the right to charge a reasonable fee for the processing of any data access request. However, China Rise may or is required to refuse to process such data access request under the applicable law and regulations.
 9. If any client who does not wish to receive any promotional materials for financial services or products, please write to us requesting, without charge, for ceasing to use the data for such purpose.
 10. The person to whom requests for access to data or correction of data or for information regarding policies and practices and kinds of personal data held are to be addressed is: 10th Floor, Island Place Tower, 510 King's Road, North Point, Hong Kong.

個人資料收集聲明

1. 客戶需不時地向華晉證券資產管理有限公司(統稱為「華晉」)提供與開設或維持賬戶、開設或維持貸款融資或者與證券經紀、財富管理、財務策劃、股票託管、投資諮詢及/或其他相關服務的個人資料。同時,有一部份資料是根據對華晉具約束力的法律、規定、規則或守則加以收集的。這可能包括但將不限於所獲取的與客戶身份(姓名、出生日期、護照/身份證號碼、地址、婚姻狀況、教育水平和就業信息)相關的信息,以及為確定客戶的財務狀況、風險取向、收入(包括收入來源)和淨資產而收集的信息。本聲明乃根據個人資料(私隱)條例(「**私隱條例**」)而作出,目的是向客戶闡明收集個人資料的原因、用途及查詢個人資料紀錄的途徑。
2. 如客戶未能提供該等個人資料,則經紀將無法代客戶開設或維持賬戶,或開設或維持貸款融資,或提供證券經紀、財富管理、財務策劃、股票託管、投資諮詢及/或其他相關服務。
3. 所有資料均以維持正常業務聯繫的需要而向客戶收集的。

個人資料的收集及用途

4. 就個人資料的收集,華晉可收集、使用及轉移客戶個人資料作任何或所有下列用途:
 - 4.1 處理客戶的賬戶申請,為客戶提供日常運作服務和貸款融資服務;
 - 4.2 進行信貸檢查;
 - 4.3 協助其他財務機構進行信貸調查
 - 4.4 根據客戶的需要設計有關的金融服務或相關產品,包括財富管理、財務策劃、保險和強積金(如適用);
 - 4.5 促進支付安排或指示;
 - 4.6 確保任何客戶或擔保人維持可靠信用;
 - 4.7 維持任何客戶或擔保人的信用紀錄以作為現在或將來參考之用;
 - 4.8 處理客戶的申請檢查程序和相關的索賠;
 - 4.9 確認在申請金融產品及/或服務、保險及/或強積金產品(如適用)服務的資格;
 - 4.10 彙編統計數據和研究分析,而華晉可根據相關適用的法律把資料用於改善服務;
 - 4.11 為客戶提供華晉及其集團內其他成員或任何其他金融機構合作伙伴(統稱為「**相關人士**」)有關的金融服務、保險或相關理財產品及/或強積金相關產品(如適用)的市場資訊;
 - 4.12 與華晉客戶或本集團的潛在客戶溝通;

- 4.13 作為有關政策複閱及需求分析及/或強積金適合性評估(如適用);
- 4.14 與客戶及/或參與僱主在有關的財務策劃及/或強積金(如適用)有關的用途作核對之用;決定欠付客戶或客戶欠付的債務款額;
- 4.15 向客戶或為客戶責任提供擔保的人士收回虧欠的款項;
- 4.16 根據對華晉具約束力的法律、規定、規則或守則的要求作出披露;
- 4.17 尋求或取得行政、電訊、電腦、付款、債務追討或證券結算、託管、審計、銀行、融資、保險、業務諮詢、外判服務或其他予華晉的與其業務經營相關的服務;
- 4.18 所有香港法律、規則及法規許可的任何目的;
- 4.19 當收集客戶個人資料時所述任何其他用途;以及
- 4.20 其他附帶或相關的用途。

將個人資料用於直接促銷用途

- 4.21 根據相關適用的法律及條款,可用於有關華晉及相關人士所提供之金融服務及/或產品,保險及/或強積金產品(如適用),的直接促銷推廣活動;
- 4.22 若客戶同意(包括表示不反對)華晉成員及/或華晉以外的公司使用客戶開戶申請書(或其他相關的登記表格及問卷如適用)中的個人資料以作直接促銷用途,以推廣下列服務、產品、商品、及設施:
 - 4.22.1 金融服務;
 - 4.22.2 相關投資產品;
 - 4.22.3 金融與投資建議;
 - 4.22.4 客戶關係管理服務;
 - 4.22.5 客戶信用的保護和維護服務; 及/或
 - 4.22.6 除非客戶對華晉另有指示,任何華晉或其成員公司可根據本聲明第 4.4 段發展其他相關的服務或產品,及尋求或取得該等服務或產品。

個人資料的轉交

5. 華晉持有的客戶資料將會保密,本集團僅會於法律允許範圍下向下列香港以內或以外人士提供客戶資料:
 - 5.1 向華晉提供與業務活動有關的管理、電訊、電腦、款項或證券結算、印刷或其他服務的任何代理人、合約商或者第三方服務提供者;
 - 5.2 華晉內的任何其他公司;
 - 5.3 遵守華晉保密原則的任何其他人,包括已承諾將上述資料保密的華晉之集團成員;
 - 5.4 客戶與之有業務往來或即將有業務往來的任何金融機構;
 - 5.5 華晉的任何實際或建議承讓人,或者與客戶相關的本集團權益參與人或次參與人或轉讓人;
 - 5.6 任何與華晉的業務有之金融機構或提供其他服務之供應商;
 - 5.7 作為擔保人或擬作為擔保人的任何人士;
 - 5.8 任何保險索賠調查員;
 - 5.9 第三方管理機構;
 - 5.10 專業顧問;
 - 5.11 根據相關適用的法律的要求下,任何華晉有責任向其披露的人士或聯屬公司或業務合作夥伴;
 - 5.12 在收集客戶的個人資料時已通知客戶的任何人士;
 - 5.13 符合法例或任何監管規則的任何人士(包括通過法院、仲裁庭、金融糾紛調解中心有限公司的任何判決、決定或裁決)、政府、監管或其他團體或機構,不論是根據法律或監管規則適用於任何集團成員的規例或其他規定之要求或其他情況,或者發出《證券及期貨條例》第 329 條所指通知的任何公司;
 - 5.14 根據對華晉具約束力的法律要求必要向其作出披露的任何其他人士;
 - 5.15 經客戶同意的任何人士;及
 - 5.16 華晉因本身利益需要而必須對其作出披露的任何人士。
6. 在履行本身的業務活動過程中,華晉可能在法律允許的範圍內,把客戶所提供的或華晉其後為此目的或其他目的所獲得的客戶個人資料與香港及海外的政府機構、其他監管機構、公司、組織或個人所持的資料進行校對、比較、轉移或交換,以便確認該等資料的可靠性。
7. 在符合私隱條例的情況下及按照條例的條款,任何人士:
 - 7.1 有權查詢華晉是否持有他/她的資料並有權取得該等資料;
 - 7.2 有權要求華晉更改有關他/她的不正確資料;及
 - 7.3 有權查詢華晉擁有該些資料的政策和應用範圍,並可了解華晉所持有的個人資料的種類。
8. 在符合私隱條例之條款的情況下,華晉有權對資料查詢人士收取合理的費用。然而華晉會因適用法例及規例而可能或被要求拒絕處理該資料查詢的要求。
9. 若客戶不希望收到任何金融服務或產品的宣傳資料,可書面通知本公司要求停止使用該等資料作該等用途,而無須支付任何費用。
10. 任何人士如欲查詢資料或更正資料或查詢有關政策和應用範圍以及個人資料的種類等資料,請隨時致函: 香港北角英皇道 510 號港運大廈 10 樓。