

CLIENT INFORMATION STATEMENT - PERSONAL

客戶資料表 - 個人

I. Primary Account Holder 基本戶口持有人

A. Personal Information 個人資料

☐ Mr 先生 ☐ Mrs 太太 ☐ Ms 小姐

English Name 英文姓名 : \_\_\_\_\_

Chinese Name 中文姓名 : \_\_\_\_\_

HKID Card 香港身份證號碼 / \_\_\_\_\_

Passport No. 護照號碼 : \_\_\_\_\_

Date of Birth (dd/mm/yy)

出生日期 (日/月/年) : \_\_\_\_\_

Nationality 國籍 : \_\_\_\_\_

Residential Address 住址 : \_\_\_\_\_

Type of residence 居所類別 : ☐ Live with parents 與父母

☐ Self-owned 自置 ☐ Mortgaged 按揭 ☐ Rented 租住 ☐

Home Tel 住宅電話 : \_\_\_\_\_

Mobile 手機 : \_\_\_\_\_

Fax 傳真 : \_\_\_\_\_

Email 電郵 : \_\_\_\_\_

Correspondence Address if different from above (Please provide Address Proof within 3 months)

通訊地址如與上述地址不同 (請提供 3 個月內地址證明) : \_\_\_\_\_

B. Occupation Information 就業資料

☐ Employed 受僱 ☐ Self-employed 自僱

☐ Retired 退休 ☐ Unemployed 無業

Company Name 公司名稱 : \_\_\_\_\_

Nature of Business 業務性質 : \_\_\_\_\_

Position 職位 : \_\_\_\_\_

Company Address 公司地址 : \_\_\_\_\_

Years of service in current position 在現職業服務年數: \_\_\_\_\_

Office Tel 辦公室電話 : \_\_\_\_\_

II. Secondary Account Holder 附屬戶口所有人

A. Personal Information 個人資料

☐ Mr 先生 ☐ Mrs 太太 ☐ Ms 小姐

English Name 英文姓名 : \_\_\_\_\_

Chinese Name 中文姓名 : \_\_\_\_\_

HKID Card 香港身份證號碼 / \_\_\_\_\_

Passport No. 護照號碼 : \_\_\_\_\_

Date of Birth (dd/mm/yy)

出生日期 (日/月/年) : \_\_\_\_\_

Nationality 國籍 : \_\_\_\_\_

Residential Address 住址 : \_\_\_\_\_

Type of residence 居所類別 : ☐ Live with parents 與父母同

☐ Self-owned 自置 ☐ Mortgaged 按揭 ☐ Rented 租住 ☐ Others

Home Tel 住宅電話 : \_\_\_\_\_

Mobile 手機 : \_\_\_\_\_

Fax 傳真 : \_\_\_\_\_

Email 電郵 : \_\_\_\_\_

B. Occupation Information 就業資料

☐ Employed 受僱 ☐ Self-employed 自僱

☐ Retired 退休 ☐ Unemployed 無業

Company Name 公司名稱 : \_\_\_\_\_

Nature of Business 業務性質 : \_\_\_\_\_

Position 職位 : \_\_\_\_\_

Company Address 公司地址 : \_\_\_\_\_

Years of service in current position 在現職業服務年數: \_\_\_\_\_

Office Tel 辦公室電話 : \_\_\_\_\_

### C. Bank Information 銀行資料

Bank Name 銀行名稱：

Bank Address (for overseas bank only)  
銀行地址 (海外銀行戶口方須填寫)：

Bank Account Name 銀行戶口名稱：

Account No. 戶口號碼：

Currency 貨幣：

### D. Financial Background and Trading Experience (If Joint Account, check box based on combined information)

財務背景及交易經驗 (聯名戶口持有人合併計算)

Annual Income 每年收入：	<input type="checkbox"/> Under 低於 HK\$ 249,999	<input type="checkbox"/> HK\$ 250,000 - 499,999	<input type="checkbox"/> HK\$ 500,000 - 749,999
	<input type="checkbox"/> HK\$ 750,000 - 999,999	<input type="checkbox"/> Over 高於 HK\$ 1,000,000	
Source of income 收入來源：	<input type="checkbox"/> Salary 薪金	<input type="checkbox"/> Investment profit 投資盈利	<input type="checkbox"/> Rental 租金收入
	<input type="checkbox"/> Others, Please Specify 其他，請說明：_____		
Liquid Assets(Cash/Stock) 流動資產(現金/股)：	<input type="checkbox"/> Under 低於 HK\$ 199,999	<input type="checkbox"/> HK\$ 200,000 - 499,999	<input type="checkbox"/> HK\$ 500,000 - 999,999
	<input type="checkbox"/> HK\$ 1,000,000 - 1,999,999	<input type="checkbox"/> HK\$ 2,000,000 - 4,999,999	<input type="checkbox"/> Over 高於 HK\$ 5,000,000
Total Net Worth 資產淨值	<input type="checkbox"/> Under 低於 HK\$ 3,000,000	<input type="checkbox"/> HK\$ 3,000,000 - 4,999,999	<input type="checkbox"/> HK\$ 5,000,000 - 6,999,999
	<input type="checkbox"/> HK\$ 7,000,000 - 9,999,999	<input type="checkbox"/> Over 高於 HK\$ 10,000,000	
Liabilities 負債：	<input type="checkbox"/> None 沒有	<input type="checkbox"/> Under 低於 HK\$ 249,999	<input type="checkbox"/> HK\$ 250,000 - 499,999
	<input type="checkbox"/> HK\$ 500,000 - 749,999	<input type="checkbox"/> HK\$ 750,000 - 999,999	<input type="checkbox"/> Over 高於 HK\$ 1,000,000

1.) Do you have experience in securities trading? 閣下是否有投資股票經驗？

☐ No 否 ☐ Yes 是，\_\_\_\_\_years of experience 年經驗

2.) Do you have experience in other investment trading? 閣下是否有其他投資買賣經驗？

☐ No 否 ☐ Yes 是，

- i) Futures 期貨\_\_\_\_\_years 年    ii) Options 期權\_\_\_\_\_years 年    iii) Commodities 商品\_\_\_\_\_years 年  
iv) Foreign Exchange 外匯\_\_\_\_\_years 年    v) Fund 基金\_\_\_\_\_years 年    vi) Bond 債券\_\_\_\_\_years 年  
vii) Others, please specify 其他，請注明\_\_\_\_\_，\_\_\_\_\_years 年

3.) How much do you plan to put into securities trading investment? 閣下計劃用作投資股票的金額？

☐ Under 低於 HK\$ 300,000    ☐ HK\$ 300,000 - 999,999    ☐ HK\$ 1,000,000 - 4,999,999    ☐ Over 高於 HK\$5,000,000

4.) What level of risk could you tolerate? (in percentage of loss in relation to your portfolio) 閣下能夠承受的風險程度？虧損佔閣下投資組合百分比？

☐ 20%    ☐ 30%    ☐ 40%    ☐ 50%    ☐ More than 超過 50%

5.) What is your investment objective? 閣下的投資目標是？

- ☐ Long Term 長期投資
 ☐ Medium Term 中期投資
 ☐ Short Term 短期投資  
☐ Capital increase/ Dividend 資本增值/股息
 ☐ Hedging 對沖
 ☐ Speculative 投機  
☐ Others, please specify 其他，請注明

6.) **Assessment of client's knowledge on derivative products** Individual/Primary Holder Secondary Holder  
 評估客戶對衍生產品的認識 個人/第一聯名戶持有人 第二聯名戶持有人

6.1 I/We have executed five or more transactions in any derivative product ☐ YES 是 ☐ NO 否 ☐ YES 是 ☐ NO 否  
 (whether traded on an exchange or not), within the past three years.

本人/吾等曾在過去三年內買賣過五次或以上有關衍生產品的交易  
 (不論是否在交易所買賣)

6.2 I/We have undergone training or attended courses on derivative products. ☐ YES 是 ☐ NO 否 ☐ YES 是 ☐ NO 否  
 本人/吾等曾接受有關衍生產品的培訓或修讀相關課程

6.3 I/We have current or previous work experience related to derivative products ☐ YES 是 ☐ NO 否 ☐ YES 是 ☐ NO 否  
 本人/吾等現時或過去與衍生產品有關的工作經驗

☐ **If No, I/We have read and understood the Risk Disclosure Statement – Risks Associated with Structured Products, Additional Risks Involved in Trading Derivative Warrants and Additional Risks Involved in Trading CBBCS included in the Client Agreement.** 如否，本人/吾等已閱讀及明白包括於客戶協議中的風險披露聲明-結構性產品相關風險，買賣衍生權證的額外風險和買賣牛熊證的一些額外風險

#### E. FATCA SELF-CERTIFICATION (INDIVIDUAL CLIENT) 海外帳戶稅收合規法案聲明書

The Foreign Account Tax Compliance Act ( "FATCA" ) enacted in the United States of America ( "US" ) become effective on 1 July 2014. The new US tax regulations require Hong Kong financial institutions to identify and report US persons to the relevant tax authority. To certify whether you are a US citizen or resident, please complete and sign this self-certification form. Please select the appropriate boxes below:

美國制定的《海外賬戶稅收合規法案》於 2014 年 7 月 1 日起生效。此等新稅務條例要求香港金融機構識別客戶是否美國公民或居民，並向美國稅務當局匯報。現就此事懇請閣下填妥及簽署此聲明書。請就以下問題填寫合適答案:

1. I certify that I am citizen of the United States of America. 本人聲明本人為美國公民。

☐ No 否 ☐ Yes 是，My Taxpayer identification no. is 本人之納稅人識別號碼為\_\_\_\_\_

2. I certify that I am resident of the United States of America for US federal income tax purposes. (Includes green card holder)

本人聲明本人為美國居民 (包括綠卡持有者)。

☐ No 否 ☐ Yes 是，My Taxpayer identification no. is 本人之納稅人識別號碼為\_\_\_\_\_

**F. Self-Certification Form – Individual (Sample form for reference and adoption by financial institutions)**  
**自我證明表格 – 個人（金融機構參考適用之樣表）**

**Important Notes: 重要提示：**

This is a self-certification form provided by an account holder to Wan Lung Securities Limited ( “WLSL” ) for the purpose of automatic exchange of financial account information. The data collected may be transmitted by WLSL to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. 這是由帳戶持有人向萬隆證券有限公司（「萬隆」）提供的自我證明表格，以作自動交換財務帳戶資料用途。萬隆可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。

An account holder should report all changes in his/her tax residency status to WLSL as soon as practicable. 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知萬隆。

All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (\*) are required to be reported by WLSL to the Inland Revenue Department. 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號（\*）的項目為萬隆向稅務局申報的必填資料。

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ( “TIN” ) 居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）\*

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 five) jurisdictions of residence 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5個）居留司法管轄區。

- If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. 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。
- If a TIN is unavailable, provide the appropriate reason A, B or C: 如沒有提供稅務編號，必須填寫合適的理由：

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

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。

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.

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。

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.

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。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因
1.			
2.			
3.			

**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).**

**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。**

G. Declaration 聲明

**Identity Declaration 身份聲明**

- 1.) Are you a director or an employee of any exchange participant of the HK Stock Exchange or any licensed or registered person of HK SFC or HKMA?  
閣下是香港交易所參與者之董事或僱員或證監會/金管局之持牌人士？  
☐ No 否 ☐ Yes, please enclose employer consent letter 是，請附僱主同意信
- 2.) Are you, your spouse, partner, child, parent, spouse or partner of your child, or your close associate 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?  
閣下是否擔任或曾擔任重要公職，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？包括閣下之配偶、伴侶、子女或父母，或閣下的子女的配偶或伴侶，或與閣下關係密切的人  
☐ No 否 ☐ Yes, please Specify 是，請說明 \_\_\_\_\_
- 3.) Does Client or the ultimate beneficial owner(s) of the Account have any relationship with the directors or employees of Wan Lung Securities Limited?  
客戶或戶口最終權益擁有人與萬隆證券有限公司之董事或職員是否有親屬關係？  
☐ No 否 ☐ Yes 是，name of the relevant person 有關人士之姓名 \_\_\_\_\_  
If yes, please state the information of the director or employee 如是，請詳列該董事或職員之資料：  
Name 姓名：\_\_\_\_\_ Position Held 職位：\_\_\_\_\_  
Relationship 關係：Husband / Wife 丈夫/妻子 Father /Mother /Son /Daughter 父親/母親/兒子/女兒 Brother/Sister 兄弟/姊妹

I/We hereby declare and confirm that, 本人(吾等) 聲明及確認，

- the information stated in the **Client Information Statement** is true, complete and correct; and  
本**客戶資料表**內陳述的資料為真實、完整及準確；及
- I/We understand all Terms & Conditions set out in this Client Services Agreement and accept and agree to be bound thereby; and  
本人(吾等) 明白本客戶服務協議所載的條款及細則，並接受及同意受該等文件約束；及
- the Account Holder(s) named in this Client Information is/ are the ultimate beneficial owner(s) of the Account(s) and transaction(s); and  
本開戶表格所指名的申請人是帳戶及交易的最終實益持有人；及
- the Account Opening Documents could be given by Wan Lung Securities Limited at any time.  
所有有關開戶之文件可隨時向萬隆證券有限公司索取。
- I/We 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). An account holder should report all changes in his/her tax residency status to Wan Lung Securities Limited.  
本人(吾等)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。如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知萬隆證券有限公司。

- I declare that I have examined the information on the FATCA self-certification and to the best of my knowledge and belief; it is true, correct, and complete. I will inform your company within 30 days if any information herein becomes incorrect.

聲明本人已查閱海外帳戶稅收合規法案聲明書之內容，並盡本人所知及確信，聲明內容均屬真實，正確及完整。本人同意如以上聲明有變更，將於 30 日內通知貴公司。



Individual / Primary Joint Account Holder' s Signature

個人/基本聯名戶口持有人簽署

Name 姓名： \_\_\_\_\_

Date 日期： \_\_\_\_\_



Secondary Joint Account Holder' s Signature

附屬聯名戶口持有人簽署

Name 姓名： \_\_\_\_\_

Date 日期： \_\_\_\_\_

**For Joint Account and Asset Management Account Only 只適用於聯名及資產托管帳戶**

Account is to be signed and operated on instruction by 帳戶簽署安排和操作指示方式：

☐ Either one of Account Holders 任何一位帳戶持有人

☐ All Account Holders 所有帳戶持有人

☐ Wan Lung Securities Limited (Asset Management Dept) 萬隆證券有限公司(資產管理部門) ☐ Others 其他 \_\_\_\_\_

**EXECUTION OF CLIENT SERVICES AGREEMENT 客戶服務協議的確立**

I/We have read and fully understand and accept in full the terms of this Client Services Agreement of Wan Lung Securities Limited.  
本人 (等) 已閱讀及完全明白及全面接納萬隆證券有限公司的客戶服務協議的全部條款。



Account Holder's Signature 戶口持有人簽署

Name 姓名 : .....

Date 日期 : .....



Account Holder's Signature 戶口持有人簽署

Name 姓名 : .....

Date 日期 : .....

In each case 每項情況

Signed by the Witness 見證人簽署 :

\_\_\_\_\_  
Name 姓名 : .....

Address 地址 : .....

Date 日期 : .....

\_\_\_\_\_  
Name 姓名 : .....

Address 地址 : .....

Date 日期 : .....

**INTERNET/APP SERVICE INSTRUCTION 網上 / 手機服務指示**

**New 新申請**

Type (Can Select more than 1 item) 申請種類 (可選擇多於一項)

☐ Internet Trade / App Trade(Free) 網上 / 手機交易 (免費)

☐ Electronic Statement(Please provide your email address)

電子帳單 (請提供郵址) .....

**Password to be received 密碼收取方式**

☐ By mail (Internet / App Trading will be activated after we receive your acknowledgement reply)

以郵寄 (網上 / 手機交易系統將在本公司收到閣下之確認回覆後才生效)

The password will be posted to you after 3 trading days or to be collected by you at our office in person during office hours. Please change the password on first logon and every 3 months.

密碼將於 3 個交易日後寄出或由閣下於辦公時間內親臨本公司領取。敬請閣下於首次登入時及每隔 3 個月更改密碼。

☐ By selecting this option, you re-confirm that you have renounced to receive statement by mail. You understand and will bear the risk that your account information may be delayed, leaked or loss during the Internet Transmission process. We expressly deny any responsibility due to such transmission errors.

閣下選擇此項時，閣下再次確認已放棄以郵寄方式收取成交單據及明白到並同意承擔閣下之客戶資料可能在互聯網傳訊過程中延誤接收，洩漏或遺失之風險。本公司聲明將不會承擔因傳訊錯誤所引致的任何責任。



Account Holder's Signature 戶口持有人簽署

Name 姓名: .....

Date 日期: .....



Account Holder's Signature 戶口持有人簽署

Name 姓名: .....

Date 日期: .....



**RISK DISCLOSURE ACKNOWLEDGEMENT 風險披露確認**

I/We confirm that:

本人 (等) 確認 :

- (i) the above Risk Disclosure Statements have been provided to me/us in a language of my/our choice (English or Chinese); and  
本人 (等) 獲提供屬於本人 (等) 所選擇語文 (英文或中文) 的以上風險披露聲明 ; 及
- (ii) I was /We were invited to read the Risk Disclosure Statements, to ask questions and take independent advice if I/we so wish.  
本人 (等) 獲邀請閱讀風險披露聲明、提出疑問、以及如本人 (等) 認為需要、尋求獨立意見。



Account Holder's Signature 戶口持有人簽署

Name 姓名 : .....

Date 日期 : .....



Account Holder's Signature 戶口持有人簽署

Name 姓名 : .....

Date 日期 : .....

**FOR OFFICE USE ONLY 公司專用**  
**Declaration by Licensed Person 持牌人員聲明**

Risk Disclosure Statements & Acknowledgement 風險披露聲明及確認

I confirm that the above Risk Disclosure Statements have been provided to the Client in a language of the Clients' choice (English or Chinese) in below location. I have invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice if the Client so wishes.  
本人確認、以上風險披露聲明已按客戶選擇的語言 (英文或中文) 並在以下地點提供予客戶。本人已邀請客戶閱讀風險披露聲明、提出疑問、以及如客戶認為需要、尋求獨立意見。

Location 地點 : ☐ Company 本公司  
☐ Others, please specify 其他、請注明 :

.....  
.....  
.....

Signature 簽署 :

Name of Licensed Person 持牌人員姓名 : .....

CE No. 中央編號 : .....

\*\*\* FOR OFFICIAL USE ONLY 只供本公司使用 \*\*\*

- ☐ 1. copy of your HKID card or passport 香港身份證或護照副本
- ☐ 2. copy of your correspondence address proof (within last 3 months) 通訊地址證明副本 (最近 3 個月內)
- ☐ 3. consent letter (if necessary) 同意信函 (如需要)

Introduced by 推介人	AE/ HSE Code:	Print Cheque 支票: Yes/ No 是/否
Period of relationship 服務期限:	Commission 佣金:	Min. Commission 最低佣金:
Trading Limit 交易限額:	Credit Limit 信貸限額:	Checked by 覆核人:

## DATA PRIVACY POLICY

### 私 隱 政 策

1. 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 WAN LUNG when opening or continuation of accounts, or in the establishment, continuation or provision of investment, dealing or related services.

2. 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.

3. Personal Data may also be collected in the ordinary course of continuation of the business relationship with WAN LUNG.

4. Subject to the provisions of the Privacy Ordinance, any Personal Data may be used for the following purposes:

- (a) the daily operation of the services provided to the Client;
- (b) conducting credit checks;
- (c) ensuring ongoing credit worthiness of the Client;
- (d) marketing investment, dealing or related services or products;
- (e) supporting any statements made in any documents in connection with the services of The Broker;
- (f) assisting other relevant parties, professionals, institutions or relevant regulatory authorities to verify certain facts in connection with the services of The Broker;
- (g) meeting the requirements to make disclosures under the requirements of any laws and/or regulations binding on The Broker;
- (h) forming part of the records of the recipient of the data as to the business carried on by it; and
- (i) any other purposes relating to or incidental to any of the above.

5. 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 (4):

- (a) any agent or third party service provider who provides services to The Broker in connection with the operation of its business;
- (b) an appropriate person under a duty of confidentiality to The Broker including any WAN LUNG Company which has undertaken to keep such information confidential;
- (c) any person or institution with which the Client has or proposes to have dealings;
- (d) credit reference agencies and debt collection agencies (in the event of default payment);
- (e) any regulatory authorities or exchanges which relate to or govern any business of The Broker and any WAN LUNG Company;
- (f) any assignee, transferee, delegate, successor or person to whom the account of the Client is transferred and the authorised person of the Client; and
- (g) any of The Broker actual or proposed assignee or participant or sub-participant or transferee.

6. 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 WAN LUNG Company in connection with the operation of its business.

7. 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.

8. In accordance with the terms of the Privacy Ordinance, any individual has the right to:

- (a) check whether The Broker holds data about him/her and access to such data;
- (b) required The Broker to correct any data relating to him/her which is inaccurate;
- (c) 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
- (d) 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.

9. 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:

Data Privacy Officer  
Unit 1712, 17/F., West Tower, Shun Tak Centre, 168-200 Connaught Road Central, Sheung Wan, Hong Kong.  
Tel: +852 3700 8900

1. 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，需不時向經紀或萬隆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）。

2. 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。

3. 個人資料將可能在與萬隆的正常業務往來過程中被收集。

4. 根據私隱條例，資料將可能用於下列用途：

- (a) 為提供服務給客戶之日常運作；
- (b) 作信貸檢查；
- (c) 確保客戶之信用維持良好；
- (d) 宣傳投資、交易或相關服務或產品；
- (e) 支援經紀在有關服務上作出之任何文件內之任何聲明；
- (f) 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；
- (g) 根據經紀須遵守之有關法例及／或條例要求作出披露；

(h) 組成接收資料者以此開展的經營業務之數據紀錄的一部分；及

(i) 與上述有關或隨附之其他用途。

5. 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：

- (a) 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；
- (b) 任何對經紀有保密責任之適當人仕，包括對經紀有保密承諾的萬隆關聯公司；
- (c) 任何與客戶已有或建議有交易之人仕及機構；
- (d) 信貸諮詢機構及（發生拖欠付款時）收數公司；

(e) 任何管治或與經紀及萬隆關聯公司的業務有關的監管機構及交易所；

(f) 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

(g) 任何經紀之實在或建議承讓人或參與人或附屬參與人或受讓人。

6. 客戶同意個人資料可轉到香港以外的任何地點（不論是用在香港以外處理、持有或使用該等資料），並同意可轉發給向任何萬隆關聯公司就其業務經營而提供服務的服務提供者。

7. 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。

8. 根據私隱條例中之條文，任何人有權：

- (a) 審查經紀是否持有他／她的資料及查閱有關之資料；
- (b) 要求經紀改正有關他／她不準確之資料；
- (c) 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
- (d) 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。

9. 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（當客戶認為由經紀查閱資料後所提供有關他／她的資料不準確時）或關於資料政策及實際應用或持有的資料種類之要求，應向下列人仕提出：

私隱資料主任  
香港上環干諾道中 168-200 號信德中心西翼 17 樓 1712 室  
電話：+852 3700 8900