

## Client Information Statement 客戶資料聲明



尊敬的客戶，為了讓天風國際證券與期貨有限公司及天風國際資產管理有限公司更加全面地了解您，以便我們更快、更好地為您開設投資賬戶，請您仔細填寫本申請表中的《開戶申請書 - 個人帳戶》。

默認填寫人為個人/ 聯名帳戶第一持有人

是否需要填寫第二持有人？

否

是

帳戶號碼  
A/C No.

開戶日期  
A/C Opening Date

## ACCOUNT OPENING FORM – INDIVIDUAL ACCOUNT

### 開戶申請書 – 個人帳戶

#### Account Type 帳戶類型

TFI Securities and Futures Limited CE No.: BAV573  
天風國際證券與期貨有限公司 證監會中央編號: BAV573

Securities Cash 證券現金

A Share A 股

Securities Margin 證券保證金

H Share H 股

Futures & Options 期貨、期權

Others 其他 \_\_\_\_\_

TFI Asset Management Limited CE No.: ASF056  
天風國際資產管理有限公司 證監會中央編號: ASF056

Discretionary Investment Management  
全權委託投資管理

Application of Electric Trading Services 申請電子交易服務

Yes 是  No 否

TFI Securities and Futures Limited and TFI Asset Management Limited collectively as "TFI".  
天風國際證券與期貨有限公司和天風國際資產管理有限公司統稱為“天風國際”。

Individual / First Account Holder for Joint Account 個人/聯名帳戶第一持有人

Tick as appropriate 請於適當空格填上「✓」號



#### Personal Details 個人資料

Last Name (English) 姓(英文): \_\_\_\_\_ Given Name (English) 名(英文): \_\_\_\_\_ 姓名(中文): \_\_\_\_\_

Sex 性別: Male 男  Female 女

Nationality 國籍: \_\_\_\_\_ Place of Birth 出生地點: \_\_\_\_\_

Date of Birth 出生日期 (dd/mm/yyyy): \_\_\_\_\_ ID or Passport No. 身份證或護照號碼: \_\_\_\_\_



#### Contact Information 聯繫方式

Mobile Phone No. 手提電話: \_\_\_\_\_ Business Phone No. 公司電話: \_\_\_\_\_

E-mail Address 電郵地址: \_\_\_\_\_ Residential Phone No. 住宅電話: \_\_\_\_\_

Residential / Permanent Address (For China and Taiwan client) (P.O. Box not acceptable)  
住宅地址 / 戶籍地址 (供中國及台灣人士填寫) (不接受郵政信箱):

Owned 自置  Rented 租用  Living with relative 與親戚同住  Company quarters 公司宿舍

Others (Please specify) 其他 (請註明): \_\_\_\_\_

If property owned, is there a mortgage on the property? 如持有自置物業, 物業有否已按揭? Yes 有  No 沒有

Correspondence Address (P.O. Box not acceptable) (If differ from above) 通訊地址 (不接受郵政信箱) (如與上述不同):

Address for Daily / Monthly Statements (Choose one only) 寄送日 / 月結單的地址 (只可選一項)

Electronic Services to E-mail Address 經電子服務發送到電郵地址

Mailing Services to 郵遞服務寄送到:

Residential / Permanent Address 住宅地址 / 戶籍地址

Correspondence Address 通訊地址



#### Depositing and Receiving Bank Account 存款及收款銀行帳戶

Please provide details of your bank account. (For opening joint account, joint bank account should be provided)  
請提供閣下的銀行帳戶詳情。(如開設聯名帳戶, 必須提供聯名銀行帳戶)

Name of Bank 銀行名稱: \_\_\_\_\_ Account Name 帳戶姓名 / 名稱: \_\_\_\_\_

Account No. 帳戶號碼: \_\_\_\_\_ Account Type (If applicable) 帳戶類別 (如適用): \_\_\_\_\_


**Employment Status 職業現況**

Education Level 教育程度：

 Below Secondary 中學以下       Secondary 中學       Tertiary/University or above 大專 / 大學或以上 

Employment Status (Must choose one) 職業現況 (必須選一項):

 Employed 受僱 

 Name of Employer 僱主名稱:
   
 \_\_\_\_\_

 Address of Employer (P.O. Box not acceptable) 僱主地址 (不接受郵政信箱)：
   
 \_\_\_\_\_

Position 職位: \_\_\_\_\_ Year(s) employed 任職年期: \_\_\_\_\_ Nature of business 行業性質: \_\_\_\_\_

 Self-employed 自僱 

 Name of Self-Owned Business 身為東主的業務名稱:
   
 \_\_\_\_\_

 Address of Self-Owned Business (P.O. Box not acceptable)  
 身為東主的業務地址 (不接受郵政信箱):
   
 \_\_\_\_\_

 Annual business turnover in preceding year (in HK\$) (applicable to self-employed only) 上一年的年度營業額 (港元) (只適用於自僱):
   
 \_\_\_\_\_ Year 年份: \_\_\_\_\_

Position 職位: \_\_\_\_\_ Year(s) employed 任職年期: \_\_\_\_\_ Nature of business 行業性質: \_\_\_\_\_

 No employment 非受僱       Student 學生       Retired 退休 

 Others (Please specify) 其他 (請述明):
   
 \_\_\_\_\_

**Financial Profile and Anticipated Activities 財務狀況及預期戶口活動**

Source of origin of funds (Choose one or more) 資金來源 (可選多項)

 Salary & Commission 薪金及佣金       Business Profit 業務溢利       Rent 租金 

 Dividend / Interest 股息 / 利息       Others (Please specify) 其他 (請述明): \_\_\_\_\_

Estimated annual income (in HK\$) 估計年度收入 (港元)

 Less than 少於 200,000       200,001 - 500,000       500,001 - 1,000,000 

 1,000,001 - 2,000,000       2,000,001 - 5,000,000       over 多於 5,000,000 

Approximate net value of assets (in HK\$) 概約資產淨值 (港元)

 Less than 少於 500,000       500,001 - 1,000,000       1,000,001 - 3,000,000 

 3,000,001 - 8,000,000       8,000,001 - 40,000,000       over 多於 40,000,000

Anticipated level of account activities (in HK\$) 預期戶口投資金額 (港元)

Less than 少於 500,000                       500,001 - 1,000,000                       1,000,001 - 3,000,000   
 3,000,001 - 8,000,000                       8,000,001 - 40,000,000                       over 多於 40,000,000

Investment Objective 投資目標

Aggressive 進取       Growth 增長       Conservative 保守       Others (Please specify) 其他 (請述明): \_\_\_\_\_



### Disclosure of Identity 披露身份

Are you a person, or director or employee of a person, licensed by or registered with Securities and Futures Commission Hong Kong?  
 閣下是否香港證券及期貨事務監察委員會發牌或註冊人士或該人士之董事或僱員?

No 否

Yes (Please insert details below)  
 是 (請提供資料)

Name of the licensed or registered person (If applicable) 持牌或註冊人士姓名 / 名稱 (如適用): \_\_\_\_\_

(Please attach consent letter from employer 請提供僱主同意書)

Are you a U.S. person? 閣下是否美籍人士?

No 否

Yes 是

Are you holding or will you acquire or hold securities and/or futures beneficially owned by or for a U.S. person?  
 閣下是否現持有或將會以信託人身份替其他美籍人士買入或持有證券及 / 或期貨?

No 否

Yes 是



### Other Accounts with TFI 於天風國際的其他帳戶

Do you have any securities or other account with TFI or its associates?  
 閣下是否於天風國際或其關聯公司持有任何證券或其他帳戶?

No 否

Yes (Please insert details below)  
 是 (請填寫以下資料)

Name of Account 帳戶姓名 / 名稱: \_\_\_\_\_ Account Number 帳戶號碼: \_\_\_\_\_

TFI / its associates (Please Specify) 天風國際 / 其關聯公司 (請述明): \_\_\_\_\_



### Declaration of Instruction Originator 指示發出人聲明

I / We hereby declare that I am / we are ultimately responsible for originating instructions for the transactions of the Account(s):  
 本人 / 吾等現聲明本人 / 吾等全權負責發出該帳戶之交易指示 :

Yes 是

No 否

*\*A separate Letter of Authorization indicating Authorized Person's name, ID no., contact number, residential address and relationship with Authorized Person, shall be signed by the Account Holder(s). (For joint account, please clearly define trading instructions and fund movements.)*

*\*帳戶持有人須簽署一份授權書，指明授權人之姓名、身份證號碼、聯絡電話、住址及關係。(對於聯名帳戶，請明確說明交易指示和資金運動。)*



### Declaration of Ownership 擁有權聲明

I / We hereby declare that I am / we are the ultimate beneficial owner(s) of the Account(s) 本人/ 吾等現聲明本人/ 吾等為該帳戶之最終受益人:

Yes 是

No, particulars of ultimate beneficial owner(s) are as follows (Please provide the certified true copy of ID Card or Passport and Address Proof of all ultimate beneficial owner(s)):

否, 下列為最終受益人資料 (請提供所有最終受益人之身份證或護照經認證真確副本及住址證明):

Name 姓名/ 名稱: \_\_\_\_\_

\*ID / Passport / Cert of Incorp No. \*身份證/ 護照/ 公司註冊成立證書號碼: \_\_\_\_\_

Address 地址: \_\_\_\_\_



### Declaration of Relationship 關係聲明

Are / Were you, your spouse, child, or parent 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, 是否現時/ 曾經擔任重要公職, 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(請述明):

Are you related to any director, officer or employee of TFI, or its associates e.g. family member or hold any beneficial interest?

閣下是否與天風國際之任何董事、主管人員或僱員或其關聯公司有任何關連, 如家庭成員或有任何實益權益?

No 否

Yes (please insert details below)  
是(請填寫以下資料):

Name 姓名: \_\_\_\_\_ Position 職位: \_\_\_\_\_ Relationship 關係: \_\_\_\_\_

Is your spouse a client of TFI or its associates?

閣下之配偶是否天風國際或其關聯公司之客戶?

N/A 不適用

No 否

Yes (Please insert details below)  
是(請填寫以下資料):

Name of Account 帳戶姓名/名稱: \_\_\_\_\_ Account Number 帳戶號碼: \_\_\_\_\_

TFI / its associates (Please Specify) 天風國際 / 其關聯公司 (請述明):

Do you and / or your spouse control 35% or more of the voting rights of any client of TFI or its associates?

閣下及 / 或閣下之配偶是否控制天風國際或其關聯公司任何客戶的表決權 35% 或以上 ?

No 否

Yes (Please insert details below)  
是 (請填寫以下資料):

Name of Account 帳戶姓名/名稱 : \_\_\_\_\_ Account Number 帳戶號碼 : \_\_\_\_\_

TFI / its associates (Please Specify) 天風國際 / 其關聯公司 (請述明):  
\_\_\_\_\_

Are you or your authorized person(s) an employee or director of or a relative of any employee or director of TFI and its associates?

閣下或閣下之獲授權人是否天風國際及其關聯公司之僱員或董事或其親屬?

No 否

Yes (Please specify) 是 (請述明):   
\_\_\_\_\_

Are you or your authorized person(s) a director, senior officer or 25% shareholder (the "relevant persons") of any listed company or related to the relevant persons?

閣下或閣下之獲授權人是否任何上市公司的董事、高級人員或擁有25%或以上權益的股東("有關人士")或與有關人士有任何關係?

No 否

Yes (Please specify) 是 (請述明):   
\_\_\_\_\_

Other Account Holder for Joint Account 聯名帳戶其它帳戶持有人

Second Applicant 第二申請人

Tick as appropriate 請於適當空格填上「√」號

**Personal Details 個人資料**

Last Name (English) 姓(英文): \_\_\_\_\_ Given Name (English) 名(英文): \_\_\_\_\_ 姓名(中文): \_\_\_\_\_

Sex 性別: Male 男  Female 女 

Nationality 國籍: \_\_\_\_\_ Place of Birth 出生地點: \_\_\_\_\_

Date of Birth 出生日期 (dd/mm/yyyy): \_\_\_\_\_ ID or Passport No. 身份證或護照號碼: \_\_\_\_\_

**Contact Information 聯繫方式**

Mobile Phone No. 手提電話: \_\_\_\_\_ Business Phone No. 公司電話: \_\_\_\_\_

E-mail Address 電郵地址: \_\_\_\_\_ Residential Phone No. 住宅電話: \_\_\_\_\_

Residential / Permanent Address (For China and Taiwan client) (P.O. Box not acceptable)  
住宅地址 / 戶籍地址 (供中國及台灣人士填寫)(不接受郵政信箱):

\_\_\_\_\_

Owned 自置  Rented 租用  Living with relative 與親戚同住  Company quarters 公司宿舍 

Others (Please specify) 其他 (請述明): \_\_\_\_\_

If property owned, is there a mortgage on the property? 如持有自置物業, 物業有否已按揭? Yes 有  No 沒有 

Correspondence Address (P.O. Box not acceptable) (If differ from above) 通訊地址 (不接受郵政信箱) (如與上述不同):

\_\_\_\_\_

Address for Daily / Monthly Statements (Choose one only) 寄送日 / 月結單的地址 (只可選一項)

Electronic Services to E-mail Address 經電子服務發送到電郵地址 

Mailing Services to 郵遞服務寄送到:

Residential / Permanent Address 住宅地址 / 戶籍地址 Correspondence Address 通訊地址 **Mailing Services only apply to the address specified by the First Account Holder for the Joint Account.**  
郵遞日 / 月結單只可寄送到聯名帳戶第一持有人所指定的地址。



### Employment Status 職業現況

Education Level 教育程度：

Below Secondary 中學以下       Secondary 中學       Tertiary/University or above 大專 / 大學或以上

Employment Status (Must choose one) 職業現況 (必須選一項):

Employed 受僱

Name of Employer (or if self-employed, name of Self-Owned Business) 僱主名稱 (若自僱，請填上身為東主的業務名稱):

\_\_\_\_\_

Address of Employer (P.O. Box not acceptable) 僱主地址 (不接受郵政信箱):

\_\_\_\_\_

Position 職位: \_\_\_\_\_ Year(s) employed 任職年期: \_\_\_\_\_ Nature of business 行業性質: \_\_\_\_\_

Self-employed 自僱

Name of Self-Owned Business 東主的業務名稱:

\_\_\_\_\_

Address of Self-Owned Business (P.O. Box not acceptable)  
東主的業務地址 (不接受郵政信箱):

\_\_\_\_\_

Annual business turnover in preceding year (in HK\$) (applicable to self-employed only) 上一年的年度營業額 (港元) (只適用於自僱):

\_\_\_\_\_ Year 年份: \_\_\_\_\_

Position 職位: \_\_\_\_\_ Year(s) employed 任職年期: \_\_\_\_\_ Nature of business 行業性質: \_\_\_\_\_

No employment 非受僱       Student 學生       Retired 退休

Others (Please specify) 其他 (請述明):

\_\_\_\_\_



### Financial Profile and Anticipated Activities 財務狀況及預期戶口活動

Source of origin of funds 資金來源 (choose one or more 可選多項)

Salary & Commission 薪金及佣金       Business Profit 業務溢利       Rent 租金

Dividend / Interest 股息 / 利息       Others (Please specify) 其他 (請述明) : \_\_\_\_\_

Estimated annual income (in HK\$) 估計年度收入(港元)

Less than 少於 200,000       200,001 - 500,000       500,001 - 1,000,000

1,000,001 - 2,000,000       2,000,001 - 5,000,000       over 多於 5,000,000

Approximate net value of assets (in HK\$) 概約資產淨值(港元)

Less than 少於 500,000       500,001 - 1,000,000       1,000,001 - 3,000,000

3,000,001 - 8,000,000       8,000,001 - 40,000,000       over 多於 40,000,000



Anticipated level of account activities (in HK\$) 預期戶口投資金額(港元)

Less than 少於 500,000                       500,001 - 1,000,000                       1,000,001 - 3,000,000   
 3,000,001 - 7,999,999                       8,000,001 - 40,000,000                       over 多於 40,000,000

Investment Objective 投資目標

Aggressive 進取       Growth 增長       Conservative 保守       Others (Please specify) 其他 (請述明): \_\_\_\_\_



**Disclosure of Identity 披露身份**

Are you a person, or director or employee of a person, licensed by or registered with Securities and Futures Commission Hong Kong?  
 閣下是否香港證券及期貨事務監察委員會發牌或註冊人士或該人士之董事或僱員？

No 否   
 Yes (Please insert details below) 是 (請提供資料)

Name of the licensed or registered person (If applicable) 持牌或註冊人士姓名 / 名稱 (如適用): \_\_\_\_\_  
 \_\_\_\_\_ (Please attach consent letter from employer 請提供僱主同意書)

Are you a U.S. person? 閣下是否美籍人士?  
 No 否   
 Yes 是

Are you holding or will acquire or hold securities and/or futures beneficially owned by or for a U.S. person?  
 閣下是否現持有又或將會以信託人身份替其他美籍人士買入或持有證券及 / 或期貨?  
 No 否   
 Yes 是



**Other Accounts with TFI 於天風國際的其他帳戶**

Do you have any securities or other account with TFI or its associates?  
 閣下是否於天風國際或其關聯公司持有任何證券或其他帳戶？

No 否   
 Yes (Please insert details below) 是 (請填寫以下資料)

Name of Account 帳戶姓名 / 名稱: \_\_\_\_\_ Account Number 帳戶號碼: \_\_\_\_\_

TFI or its associates (Please Specify) 天風國際 / 或其關聯公司 (請述明): \_\_\_\_\_



**Declaration of Instruction Originator 指示發出人聲明**

Refer to the First Account Holder for joint account's instruction. 根據聯名帳戶第一持有人的指示。



### Declaration of Ownership 擁有權聲明

I / We hereby declare that I / we am / are the ultimate beneficial owner(s) of the Account(s) 本人/ 吾等現聲明本人/ 吾等為該帳戶之最終受益人:

Yes 是

No, particulars of ultimate beneficial owner(s) are as follows 否, 下列為最終受益人資料 :

(Please provide the certified true copy of ID Card or Passport and Address Proof of all ultimate beneficial owner(s))  
(請提供所有最終受益人之身份證或護照經認證真確副本及住址證明)

Name 姓名/ 名稱 \_\_\_\_\_

\*ID / Passport / Cert of Incorpor No. \* 身份證/ 護照/ 公司註冊成立證書號碼: \_\_\_\_\_

Address 地址 : \_\_\_\_\_



### Declaration of Relationship 關係聲明

Are / Were you, your spouse, child, or parent 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, 是否現時/ 曾經擔任重要公職, 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(請述明):

Relationship with the First Account Holder for Joint Account 與聯名帳戶第一持有人的關係:

Are you related to any director, officer or employee of TFI, or its associates e.g. family member or hold any beneficial interest?  
閣下是否與天風國際之任何董事、主管人員或僱員或其關聯公司有任何關連, 如家庭成員或有任何實益權益?

No 否

Yes (please insert details below)  
是 (請填寫以下資料):

Name 姓名: \_\_\_\_\_ Position 職位: \_\_\_\_\_ Relationship 關係: \_\_\_\_\_

Is your spouse a client of TFI or its associates?  
閣下之配偶是否天風國際或其關聯公司之客戶 ?

N/A 不適用

No 否

Yes (Please insert details below)  
是 (請填寫以下資料):

Name of Account 帳戶姓名 / 名稱: \_\_\_\_\_ Account Number 帳戶號碼: \_\_\_\_\_

TFI or its associates (Please Specify) 天風國際 / 或其關聯公司 (請列明): \_\_\_\_\_

Do you and/or your spouse control 35% or more of the voting rights of any client of TFI or its associates?

閣下及 / 或閣下之配偶是否控制天風國際或其關聯公司任何客戶的表決權 35% 或以上?

No 否

Yes (Please insert details below)   
是 (請填寫以下資料):

Name of Account 帳戶姓名 / 名稱 : \_\_\_\_\_ Account Number 帳戶號碼 : \_\_\_\_\_

TFI or its associates (Please Specify) 天風國際 / 或其關聯公司 (請述明):  
\_\_\_\_\_

Are you or your authorized person(s) an employee or director of or a relative of any employee or director of TFI and its associates?

閣下或閣下之獲授權人是否天風國際及其關聯公司之僱員或董事或其親屬?

No 否

Yes (Please specify) 是(請述明):   
\_\_\_\_\_

Are re you or your authorized person(s) a director, senior officer or 25% shareholder (the "relevant persons") of any listed company or have relationship with the relevant persons?

閣下或閣下之獲授權人是否任何上市公司的董事、高級人員或擁有25%或以上權益的股東("有關人士")或與有關人士有任何關係?

No 否

Yes (Please specify) 是(請述明):   
\_\_\_\_\_

## CLIENT INFORMATION STATEMENT

### 客戶資料聲明

#### I/We declare and acknowledge that:

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

1. I/We have received from TFI Securities & Futures Limited and TFI Asset Management Limited the Client Agreement(s) including the Terms and Conditions for Securities Trading (if applicable), Terms and Conditions for Margin Financing (if applicable) and Terms and Conditions of the Discretionary Investment Management Agreement (if applicable), Risk Disclosure Statements, and the Circular to Clients relating to Personal Data (Privacy) Ordinance, and was/were invited to read, ask questions and take independent advice if I/ we wish.
2. 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.
3. I/We have carefully considered the Risk Disclosure Statements and recognize that trading in securities and/or futures 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 and voluntarily confirm that such trading is a suitable trading vehicle for me/us.
4. [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.
5. I/We understand and agree that the provisions of the Terms and Conditions of the Agreement(s) and the Personal Data (Privacy) Ordinance Circular may be amended, supplemented or revised from time to time by the Broker by way of notice and I/we recognize that I/we may at any time ask for a copy of each of the up-to-date Agreement(s) and Personal Data (Privacy) Ordinance Circular for perusal.
6. 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 which 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 and/or assets underlying the futures contracts.

#### Use of Personal Data for Direct Marketing

I/We understand and AGREE that TFI, together with its subsidiaries and affiliated companies (collectively as "TFI Group (TFIG)") 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 the TFIG and/or entities outside the TFIG which are their business partners in financial or related services, for which TFIG may receive gain. I/We can change my/our instructions at any time by providing written notice to TFIG. In case TFIG 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.

- I/We AGREE to the use or transfer of my/our personal data for direct marketing purposes. (please tick if applicable)  
本人/吾等同意本人 / 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。(請於方格內加上「✓」如適用)

*At any time in the future, Client may inform TFI 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 the TFIG's Personal Information Collection Statement.*

在將來任何情況下，如客戶不欲收到任何天風國際集團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。詳情請參閱天風國際集團的個人資料收集聲明。

本人 / 吾等聲明及確認：

本人 / 吾等確認開戶申請書所載之資料乃真實、完整及正確。

1. 本人 / 吾等已收悉天風國際證券與期貨有限公司和天風國際資產管理有限公司客戶協議書，內附證券買賣條款及細則(如適用)、孖展證券貸款條款(如適用)及/或全權委託投資管理協議之條款及細則(如適用)、風險披露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。
2. 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。
3. 本人 / 吾等已仔細考慮風險披露聲明及了解進行證券及 / 或期貨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，亦自願確認該等交易是一項對本人 / 吾等合適的買賣方式。
4. [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)。
5. 本人 / 吾等明白和同意，本合約的條款及細則和個人資料(私隱)條例通告可被經紀不時以通知方式作出變更、補充或修改，本人 / 吾等明瞭本人 / 吾等可隨時索取一份經過更新的本合約和個人資料(私隱)條例通告。
6. 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、持有及沽售證券及 / 或有關期貨合約的資產相關的 (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。

#### 直接促銷中個人資料的使用

本人 / 吾等明白及同意天風國際連同其附屬公司及聯屬公司(統稱「天風國際集團」)，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)至天風國際集團的成員公司及 / 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，而天風國際集團或會就此獲取得益。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，向天風國際集團更改指示。若天風國際集團就本人 / 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。

Signed by 經由客戶簽署:

Signature of Individual Client 個人客戶簽署:



Name 姓名: \_\_\_\_\_

Signature of Joint Client 聯名客戶簽署:



Name 姓名: \_\_\_\_\_

In the Presence of 見證人: \_\_\_\_\_

Name of Witness 見證人名稱: \_\_\_\_\_

Profession/Occupation 專業/ 職業: \_\_\_\_\_

Name of Company 公司名稱: \_\_\_\_\_

Company Address 公司地址: \_\_\_\_\_

Acknowledged and Accepted by TFI Securities and Futures Limited and/or TFI Asset Management Limited  
經由天風國際證券與期貨有限公司及/或天風國際資產管理有限公司承認及接納

Signature of Witness 見證人簽署:



Authorized Signature(s) 獲授權簽署:



Name of Authorized Person(s) 獲授權人姓名: \_\_\_\_\_

Date 日期: \_\_\_\_\_

Witness should be a licensed or registered person, an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person 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。

## Personal Information Collection Statement

1. From time to time, it is necessary for clients to supply TFI Securities and Futures Limited and TFI Asset Management Limited together with its subsidiaries, wholly owned subsidiaries and affiliated companies (collectively as "TFIG") (as the case may be) 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, futures trading, asset management, financial planning, nominee, investment advisory and/or other relevant services. At the same time, some of the data are collected pursuant to laws, regulations, rules or codes binding on TFIG. 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 TFIG being unable to open or continue accounts or establish or continue credit facilities or provide securities brokerage, futures trading, asset 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. TFIG 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 asset management and/or financial planning;
  - 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 TFIG, 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 TFIG and any other entities within the TFIG or partnering financial institutions (collectively referred as "Related Parties");
  - 4.12 communication with customers, prospective customers of the TFIG;
  - 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' obligation;
  - 4.16 meeting the requirements to make disclosure under the requirements of any laws, regulations, rules, codes binding on the TFIG;
  - 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 TFIG 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 relating to the TFIG 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 TFIG and/or entities outside the TFIG 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 TFIG or a member of the TFIG may develop under paragraph 4.4 of this Statement, unless client instructs TFIG otherwise, and seeking or obtaining the same.

#### Transfer of Personal Data

- 5. Data held by TFIG relating to a client will be kept confidential but TFIG 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 TFIG in connection with the operation of its business;
  - 5.2 any other companies within TFIG;
  - 5.3 any other person under a duty of confidentiality to TFIG including a member of TFIG 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 the TFIG or participant or sub-participant or transferee of the TFIG's rights in respect of the client;
  - 5.6 any financial institution or other service providers rendering services to TFIG in connection with the operation of TFIG 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 TFIG is obliged to disclose under the requirement of any law relating to TFIG 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 the TFIG, 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 the TFIG;
  - 5.15 any person with the client's consent; and
  - 5.16 any person in the event that TFIG's interests require disclosure.
- 6. In the course of performing our duties, the TFIG may, as permitted by law, match, compare, transfer or exchange any personal data provided by the client, or hereafter obtained, for these or any other purposes by the TFIG, 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 TFIG holds data about him/her and the right of access to such data;
  - 7.2 has the right to require TFIG to correct any data relating to him/her which is inaccurate; and
  - 7.3 has the right to ascertain TFIG policies and practices in relation to data and to be informed of the kind of personal data held by TFIG.
- 8. In accordance with the terms of the PDPO, TFIG has the right to charge a reasonable fee for the processing of any data access request. However, TFIG 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: The Data Protection Officer, TFI, 11/F, Nexus Building, 41 Connaught Road Central, Central, Hong Kong.



## 個人資料收集聲明

- 1 客戶需不時地向天風國際證券與期貨有限公司和天風國際資產管理有限公司連同其附屬公司、全資子公司及聯屬公司(統稱「天風國際集團」)(視情況而定)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、期貨交易、資產管理、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天風國際集團具約束力的法律、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記錄的途徑。
- 2 如客戶未能提供該等個人資料,則天風國際集團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、期貨交易、資產管理、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,天風國際集團可收集、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檢查;
  - 4.4 根據客戶的需要設計有關的金融服務或相關產品,包括資產管理及/或財務策劃;
  - 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記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,而天風國際集團可根據相關適用的法律把資料用於改善服務;
  - 4.11 為客戶提供天風國際集團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 與天風國際集團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 根據對天風國際集團具約束力的法律、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、款項、債務追討或證券結算、託管、審計、銀行、融資、保險、業務諮詢、外判服務或其他予天風國際集團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 其它附帶或相關的用途。

### 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,可用於有關天風國際集團及相關人士所提供之金融服務及/或產品,的直接促銷推廣活動;
- 4.22 若客戶同意(包括表示不反對)天風國際集團成員及/或天風國際集團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 除非客戶對天風國際集團另有指示，任何天風國際集團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 天風國際集團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 向天風國際集團提供與業務活動有關的管理、電訊、電腦、款項或證券結算、印刷或其它服務的任何代理人、合約商或者第三方服務提供者；
  - 5.2 天風國際集團內的任何其它公司；
  - 5.3 遵守天風國際集團保密原則的任何其他人，包括已承諾將上述資料保密的天風國際集團之集團成員；
  - 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 天風國際集團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 任何與天風國際集團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，任何天風國際集團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 根據對天風國際集團具約束力的法律要求必須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 天風國際集團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，天風國際集團可能在法律允許的範圍內，把客戶所提供的或天風國際集團其後為此目的或其它目的所獲得的客戶個人資料與香港及海外的政府機構、其它監管機構、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 在符合私隱條例之條款的情況下及按照條例的條款，任何人士：
- 7.1 有權查詢天風國際集團是否持有他 / 她的資料並有權取得該等資料；
  - 7.2 有權要求天風國際集團更改有關他 / 她的不正確資料；及
  - 7.3 有權查詢天風國際集團擁有該些資料的政策和應用範圍，並可了解天風國際集團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，天風國際集團有權對資料查詢人士收取合理的費用。然而天風國際集團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，可書面通知天風國際集團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：香港中環干諾道中41號盈置大廈11樓天風國際「資料保護主任」收。