

Account Application (Individual or Joint Account)

To: Rakuten Securities Hong Kong Limited ("Rakuten Securities HK")

The information below must be completed in FULL.

PART A: ACCOUNT SETTING						
Account Type □ Individual Account □ Joint Account ● (Please repeat Part B for Joint Account)						
Account and Base Currency (Please check one or more)	Rakuten FX					
Applicant's E-MAIL Address (Required)						
Security Question (Please check one only)	Security Answer	□ \A/h = t i=			Security Answer	
☐ What was your first pet's name?☐ What was the first street you lived on?		☐ What is you	ır nıckname <i>?</i> ır Mother's maiden	name?		
·		□ What is you	ii Wother's maiden	name:		
PART B: BASIC INFORMATION Primary Account Holder (Please repeat this part for	or a Joint Account)					
English Name Surname	Given Name	Chinese Name		Alias (if any)		
(Required)				,		
Gender						
I.D., or Passport No.	Date of Birth (D	DD / MM / YYYY)	D D /	M	I Y Y Y Y	
Citizenship	Place of Birth					
Telephone No. (Mobile)	Telephone No. ()	Fax No.	()	
Residential Address (In English; P.O. Box is not ac						
Tresidential Address (III English, 1 . C. Box is not ac	осрісці					
Permanent Address (In English; if different from Residential Address; P.O. Box is n	Permanent Address (In English; if different from Residential Address; P.O. Box is not accepted)					
Are you a US citizen or Resident? □ No				IS Taxpayer identification number SSN or ITIN)		
Are you a tax resident anywhere other ☐ No than Hong Kong?	Taxpayer Identification Number (TIN)					
Specify the reason if no TIN is available, ☐ A. The country/jurisdiction where the account h	older is a resident for to	y purpose does not is	euo TINe to ite rocie	lonto		
\square B. The account holder is unable to obtain a TIN	. Please explain	<u> </u>	 			
☐ C. TIN is not required. Select this reason only if Employment Details	the authorities of the C	ountry/Jurisaiction of	tax residence do no	t require the	I IIN to be disclosed.	
☐ Employed ☐ Self-emplo	ved	☐ Retired		☐ Unemp	loved	
□ Employed □ Self-employed □ Retired □ Unemployed Name of Current Employer AND Business address						
(Required)						
Business Telephone No.	none No. Nature of Business (Required)					
Occupation (Required)	Years wit	h Current Employer		Source of In	ncome	
			Year(s)	(Required)		
PART C: FINANCIAL INFORMATION						
For Joint Account, please use combined financial information						
1. What is your total estimated annual income? (In USD) Note¹ □ < \$25,000 □ \$25,000-\$49,999 □ \$50,000-\$99,999 □ \$100,000-\$249,999 □ \$250,000-\$1,000,000 □ > \$1,000,000						
2. Net worth (Assets minus liabilities)? (In USD) Note ¹						
□ < \$25,000 □ \$25,000-\$49,999 □ \$50,000-\$99,999 □ \$100,000-\$249,999 □ \$250,000-\$1,000,000 □ > \$1,000,000						
3. Liquid assets (Assets that can be quickly converted to cash) (In USD) □ <\$25,000 □ \$25,000-\$49,999 □ \$50,000-\$99,999 □ \$100,000-\$249,999 □ \$250,000-\$1,000,000 □ > \$1,000,000						
4. Have you declared bankruptcy in the last 10 years? If "Yes", provide date and details			□ No □ Yes			
5. Do you have or have you ever had any other Account (s) with Rakuten Securities HK? If "Yes", account number(s):						
6. Are you: 1) A member of any commodity exchange? If "Yes", please list:			□ No □	Yes		
2) An employee of a regulatory agency? If "Yes", please list: No Yes						
Note ¹ If your annual income is less than \$25,000 or net worth is less than \$50,000, please review the "Risk Warning notice" in the "Client Agreement for Foreign Exchange Trading".						

Please fill-in the Nature of Business



Account Application (Individual or Joint Account)

7147 41	3 4 7 5								
PART D: INVESTMENT EXPERIENCE									
Do you have any	investment expe	erience?	\square No \square	Yes (If "Yes", plea	se spec	ify years of	experience belo	W.	
Securities	Y	Year(s)	Options	Y	ear(s)	Commodi	ties		Year(s)
Futures	Y	Year(s)	Forex	Y	ear(s)	Others, p	lease specify		Year(s)
Please choose your investment objectives. ☐ Income — Provide current income rather than ☐ Growth — Increase investment value over time ☐ Speculation — Assume the highest degree of growth of principal while accepting price fluctuation risk for potentially higher returns To be completed by Rakuten Securities HK's representative only Based on the information provided in this account application form, you are assigned a monetary value in account base currency:									
Rakuten FX (USD	account): USD			Ra	akuten F	Κ (HKD accoι	unt): HKD		
Banking inform	ation								
Bank Name				Bank Account Num	ber				
SWIFT Code (If	applicable)			Bank Account Hold					
				(Must be the same	as the r	name on this	s application)		
PART E: RISK I	DISCLOSURE ST	TATEMEN	NT						
such as "stop-los orders. You may may be liquidated	s" or "stop limit" oi be called upon at s l. You will remain li	orders, will short notice liable for a	not necessarily e to deposit add ny resulting del	/ limit losses to the inte ditional margin funds. If	ended ar the requ u should	mounts. Mar uired funds a therefore ca	ket conditions ma are not provided warefully consider w	ay make it imposithin the presonant	Placing contingent orders, possible to execute such cribed time, your position trading is suitable in light
PART F: DECL	ARATION								
1. I/We acknowledge that this Client Agreement is a legally binding contractual agreement. I/We have read carefully and understood the provisions of the attached Client Agreement of Rakuten Securities HK ("Agreement") which this document forms a part, and by signing, I/We agree to be bound by every term and condition. No modification of this Client Agreement is valid unless accepted by Rakuten Securities HK in writing. I/We confirm that I/We have received a full set of account documents and I/We have not made any alterations or deletions to this agreement or any such documents from the original forms. In the event that there are any alterations or deletions to this Client Agreement, such alteration and deletions shall not be binding on Rakuten Securities HK and said original forms shall govern Trader account relationship with Rakuten Securities HK. 2. I/We hereby apply to open the above type(s) of account and agree to be bound by the Agreement (receipt of a copy whereof is hereby acknowledged by me/us) including its Standard Terms and Conditions and relevant Schedule(s) as the same may be amended from time to time. I/We acknowledge and confirm that Rakuten Securities HK has provided the Risk Disclosure Statement, to ask questions and take independent advice if I/We wish. 3. I/We hereby represent that the information provided herein is true, correct complete and accurate. I/We further represent that I/We will notify Rakuten Securities HK reserves the right, but has no duly, to verify the accuracy of information provided, and to contact such bankers, brokers and others as it deems necessary. 4. Rakuten Securities HK is authorized at any time to contact anyone, including your banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Application. I/We have read and understood the clause within the section "Personal Data (Privacy) Ordinance" under the attached Client Agreement of Rakuten Securities HK in writing that live do not wish to receive such direct marketi									
PART G: SIGNA	ATURE								
Primary Account	Holder's	Joint Account Holder's							
Signature			Signature						
Client's Print Na	me				Client's Print Name				
Date (DD/MM/Y)				Date (DD/MM/YY)					
DECLARATION BY LICENSED REPRESENTATIVE(S)									
I have provided the Client Agreement (Version 49), Margin Call Policy and Procedures and Risk Disclosure Statements to the Client(s) in a language of Client(s) choice (English or Chinese) and have invited Client(s) to read the Client Agreement (Version 49), Margin Call Policy and Procedures and Risk Disclosure Statements carefully, ask questions and take independent advice if Client(s) wishes.									
Licensed Repres	sentative's			SFC	,		(INTERNAL US	SE Only)	
Signature				CE Number _			Reviewed By:		
Name of				Date	Signatur		Signature:		



Account Application (Individual or Joint Account)

Questionnaire:

Please submit the questionnaire with account application via mail to the address noted below, email to info@sec.rakuten.com.hk or fax to (852)2119-0117. The request will begin to be processed within 2 business days upon receipt. Please review your information carefully before submitting to avoid any delays.

Customer Information (Please complete	in FULL)				
Name (as stated on your identity document)					
I.D. (or Passport) number					
In order to assess your knowledge of leveraged foreign exchange trading, please choose the correct answers for the questions below.					
The maximum trading leverage ratio is position in Rakuten Securities HK.	s, therefore, of margin is required for opening new				
a. 20 times, 5% b. 100 times, 1% c. 1000 times, 0.1%					
2 "Margin Call" will be issued when equity equal toof margin requirement, and your open positions will be liquidated automatically when equity equal toof margin requirement.					
☐ a. 15%, 9% ☐ b. 10%, 6% ☐ c. 3%, 2%					
3 In some circumstances, the substantial losses may exceed the amount of the initial deposit fund, therefore the negative balance occurs in client's account and will be responsible for the resulting deficit?					
a. the Clientb. Rakuten Securities HKc. both client and Rakuten Securit					
4 Due to the market volatility, orders may be subject to slippage,if slippage occurs.					
 a. execution cannot be done b. execution price will be different from order price which you are expecting c. execution price will be same as expected 					
5 Leverage FX isand the prices of the FX contracts are determined by					
a. traded via over-the-counter (OTC) market, liquidity providers of the trading platform					
□ b. traded on any centralized exchanges, centralized exchanges□ c. freely convertible, bank					
6 During the maintenance hours, which of the following order can be executed?					
a. Market order	and removing or their team and extended to				
b. Pending order					
c. None of above					



Account Application (Individual or Joint Account)

IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT

有關開戶申請步驟的重要資訊

Foreign Status Certification & U.S Tax Payer Certification

If an account is held by a non U.S. citizen or non U.S. registered business entity. Rakuten Securities HK must have a Certification of Foreign Status on file for the account.

If an account is held by a U.S. citizen, U.S. resident alien or U.S. business entity, you are required to certify your tax status by completing W-9 form.

This information is required for foreign financial institution tax withholding purposes under the United States Internal Revenues Service Tax laws, Rakuten Securities HK must establish your proper classification with respect to residency for tax purposes in order to determine the proper tax withholding and file the appropriate reports with the Internal Revenues Service.

To provide or update your Certification, complete the appropriate form below. Please note that you must complete this form prior to trading and any time the information on this form has changed.

外國身份認證與美國納稅人認證

如果賬戶是由非美國公民或非美國註冊商業實體持有,樂天證券香 港必須為該賬戶持有外國身份的認證文件

如果賬戶是由美國公民、美國居住的外籍居民、或美國的商業實體 持有,您需要填寫 W-9 表格以證明您的稅務狀況。

根據美國國內收入服務稅法,您必需提供此資料以令外國金融機構 扣繳稅款。樂天證券香港必須正確地為客人稅務上的居住地域分 類,以決定正確的預扣稅和把適當的文件給予美國國家稅務局

請完成下面對應的表格,以提供或更新您的認證。請注意,於交易 前或當資料於對應表格上轉變前,您必須完成對應表格。

Forms and Instructions	表格及說明		
Description	描述	Forms 表格	Instructions 說明
A foreign individual	外國個人 (非美國個人)	W-8BEN (PDF)	W-8BEN (PDF)
A U.S. business entity or U.S. citizen or resident	美國企業實體或美國公民或美國居民	W-9 (PDF)	W-9 (PDF)
A foreign business entity	外國(非美國)企業實體	W-8BEN-E (PDF)	W-8BEN-E (PDF)
A foreign partnership, a foreign simple trust, or a foreign grantor trust (unless claiming treaty benefits)	外國(非美國)合夥企業·外國(非美國)簡單信託·或外國(非美國)的授予 人信託(除非具稅收協定優惠待遇)	W-8IMY (PDF)	W-8IMY (PDF)
A foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the U.S. (unless claiming treaty benefits)	外國個人(非美國個人)或實體聲稱收入 實際上連接於美國境內的貿易或業務(除 非具稅收協定優惠待遇)	W-8ECI (PDF)	W-8ECI (PDF)
A foreign government, international organisation, foreign central bank of issue, foreign tax exempt organisation, foreign private foundation, or government of a U.S. possession that received effectively connected income.	收到有效連接收入的外國(非美國)政府、國際組織、發行外國(非美國)中央銀行、外國(非美國)免稅組織、外國 (非美國)私人基金會或美國佔有的政府	W-8EXP (PDF)	W-8EXP (PDF)

PERSONAL INFORMATION COLLECTION STATEMENTS 個人資料收集聲明

Personal Information Collection Statement

SECURITY AND DISCLOSURE

Rakuten Securities HK respects each individual's right to privacy. We value our relationship with you, and we take pride in maintaining loyalty and respect with each individual client; all personal information collected by Rakuten Securities HK is protected under stringent security measures. The provisions of this notice apply to former clients, current clients, and applicants.

PERSONAL INFORMATION

When you apply for and/or maintain a live or demo account with Rakuten Securities HK or contact Rakuten Securities HK for any inquiries, Rakuten Securities HK collects personal information, including your name, contact details and other personal particulars for the following purposes, such as evaluating your financial needs, processing your requests and transactions, informing you about investment products and services and providing customer service. The types of personal information may include:

- · Application information. Information you provide to us on applications and other forms, such as your name, address, birth date, identification card number, occupation, assets, and financials.
- · Transaction information. Information about your transactions as well as information about our communications with you. Examples include your account balances, trading activity, your inquiries, and our responses.
- Verification information. Information necessary to verify your identity, such as a passport or driving license. Additional examples also include background information we receive from public records or from other entities not affiliated with Rakuten Securities HK. Rakuten Securities HK may also be required to collect your information and take actions necessary to verify your identity in accordance with regulatory requirements.

Rakuten Securities HK or Rakuten Group** intends to use your name, telephone number and email address for direct marketing investment products and services and Rakuten Securities HK requires your consent for that purpose. By applying for and/or opening a live or demo Rakuten Securities HK account, you acknowledge and agree that your consent is voluntarily provided to Rakuten Securities HK. If you do not wish Rakuten Securities HK to use your data for use in direct marketing as described in this policy, you may exercise your right to opt-out by notifying Rakuten Securities

In compliance with the Personal Data (Privacy) Ordinance, Rakuten Securities HK would like to inform you that your personal information may be used for the following purposes

- Sharing, cross-checking and transferring that personal data with any Rakuten Securities HK's affiliated or associated companies or Rakuten Group whether in relation to new or existing client verification procedures, ongoing account administration or direct or indirect marketing of any investment, dealing or related services or products;
- 2. The comparison and or transfer to third party service providers of such personal data for the purposes of credit checking and or data verification;
- 3. Any purpose relating to or in connection with the compliance of any law, regulation, court order or order of a regulatory authority, including the provision of any such data to any such regulatory authority as required by law or regulation;

個人資料收集聲明

安全性及披露

樂天證券香港尊重個人私隱權。樂天證券香港非常重視與客戶 的關係,而且樂天證券香港以為客戶提供關於個人資料方面的 私隱保障而取得客戶的支持及尊重為榮。此告示中的條文適用 於前客戶、現有客戶及申請人。

個人資料

當閣下向樂天證券香港申請及/或維持一個真實或模擬賬戶或聯 画閣トロボー値が存在で明人(ス施打) 回来まる (た版本) へっかる 終来 天麓券香港作出任何查詢時・樂天證券香港收集個人資料 (包括閣下的姓名、聯絡詳情及其他個人資料)作下列用途・例如 評估閣下的財務需要,處理閣下的要求和交易,通知閣下投資 產品和服務及提供客戶服務。個人資料的種類可能包括:

- 申請資料:閣下在申請表或其他表格上所提供的資料,例如姓 名、地址、出生日期、身份證號碼、職業、資產·及財政狀況:
- •交易資料:關於閣下的交易的信息及樂天證券香港與閣下的通 信資料,例如包括閣下的賬戶結餘、交易活動、閣下的查詢及 樂天證券香港的回覆;
- 核實資料:核實閣下身份所需的資料,例如護照或駕駛執照。 其他例子亦包括樂天證券香港從公共紀錄或其他與樂天證券香港從公共紀錄或其他與樂天證券香港從公共紀錄或其他與樂天證券香港並無關聯之機構所獲得的背景資料。根據監管規定、樂天證 券香港亦可能需要收集閣下的資料及採取必需行動以核實閣下 的身份;

樂天證券香港或樂天集團**擬使用閣下的姓名、電話號碼和電郵 地址作直接促銷投資產品和服務。樂天證券香港須為此目的取 得閣下同意。透過申請和/或開立樂天證券香港真實或模擬賬 戶 · 閣下確認並同意 · 閣下所提供給樂天證券香港的同意是出於自願的。如閣下不願意樂天證券香港使用閣下的資料 · 藉以 用於本政策聲明所述之直接促銷,閣下可通知樂天證券香港以 行使其不同意此安排的權利

根據《個人資料(私隱)條例》・樂天證券香港謹此通知閣

下·閣下的個人資料可能會被用作以下用途: 1. 不論是有關新或現有客戶的核證程序、持續賬戶行政管理或 任何投資、交易或相關服務或產品的直接或間接市場推廣,與 樂天證券香港任何聯屬或關連公司或樂天集團或共享、反覆查 證及轉移該等個人資料

- 比較及/或將該等個人資料轉移予第三者服務供應商作信貸查 證及/或核證資料用途
- 3. 關於或有關遵守任何法律、規例、法令或監管機構的命令的 任何用途,包括按照法律或規例的要求向任何該等監管機構提 供任何該等資料;



Account Application (Individual or Joint Account)

4. Any other purpose relating to or in connection with Rakuten Securities HK's business or dealings or the business or dealing of Rakuten Securities HK's affiliated or associated company or any member of Rakuten Group

Your personal data held by Rakuten Securities HK will be kept confidential but Rakuten Securities HK's affiliated or associated company or Rakuten Group may provide information to 1) any agent or third party services provider who provides services to any of Rakuten Securities HK's affiliated or associated companies or Rakuten Group in connection with the operation of its business 2) any regulatory or governmental authorities which relates to or govern any business of any of Rakuten Securities HK's affiliated or associated companies or Rakuten Group and 3) any person that Rakuten Securities HK considers as appropriate or fit including any of Rakuten Securities HK's affiliated or associated companies or a member of Rakuten Group or a member and its employees under a duty of confidentiality. Your personal data may be transferred to a place outside Hong Kong where it may not have protection to the same or similar level in Hong Kong.

In accordance with the terms of the Personal Data (Privacy) Ordinance, any client has the right:

- To determine whether Rakuten Securities HK holds data about that client and of access to such
- To request Rakuten Securities HK correct any inaccurate data relating to the client;
 To ascertain Rakuten Securities HK's policies and practices in relation to data and be informed of the kind of personal data held by any of Rakuten Securities HK's affiliated or associated companies or Rakuten Group;
- · To request Rakuten Securities HK or its affiliated or associated companies or Rakuten Group to cease from using his/her personal data for direct or indirect marketing purpose by writing

Rakuten Securities HK has the right to charge a reasonable fee for the processing of any data access request in accordance with the terms of the Personal Data (Privacy) Ordinance. Requests for access to data or correction of data or for information regarding Rakuten Securities HK's privacy policy and practices should be addressed to the following:

The Data Protection Officer,

Unit 501, 5/F, Nexxus Building, 41 Connaught Road Central, Hong Kong Telephone: (852) 2119-0116 Fax: (852) 2119-0117

You are not required to supply any of the personal information that we may request. However, failure to provide all required information may prevent us from opening and/or maintaining your account or providing services to you. While we make every effort to ensure that all information we hold about you is accurate, complete, and up to date, you can help us considerably in this regard by promptly notifying us if there are any changes to your personal information.

ABOUT COOKIES

Introduction

Rakuten Securities Hong Kong Limited ("Rakuten Securities HK") may use cookies when you visit our website the sec.rakuten.com.hk domain (the "Website") including any other media form, the mobile website to help customize the Website and improve your experience. By using the Website, you consent to our use of cookies according to this Cookies Policy. If you refuse to accept cookies, please refer to Managing Cookies below.

We reserve the right to make any changes to this Cookies Policy at any time and for any reason. All modifications will be effective immediately upon posting the updated Cookies Policy on the Website, and you waive the right to receive specific notice of each modification. You will be deemed to have been made aware of, will be subject to, and will be deemed to have accepted the modification in any revised Cookies Policy by your continued use of the Website after the date such revised Cookies Policy is posted.

What are cookies?

Cookies are small text files that assign you a unique identifier that usually we store on your computer and/or mobile devices. Cookies are used to recognize visitors each time they submit a query to the Website. Rakuten Securities HK and/or Rakuten Group may use Cookies to personalize users' preference when they return to the Website, deliver and tailor the marketing and advertising, and improve the users' experience on the Website and the services we provided Such information that we collect and share would be anonymous and not personally identifiable. Use of cookies

The Website uses cookies served by third parties on our behalf. The table below describes what cookies are used:

Service	Purpose	More Information
Google Analytics	These cookies are used to collect information about how visitors use the Website anonymously. We use the information to compile reports and to help us improve the Website.	Google privacy information
Google reCAPTC HA	These cookies are used to collect information to protect our Website from spam software and non-human visitors.	Google privacy information

4. 關於或有關樂天證券香港的業務或交易,或樂天證券香港的 聯屬或關連公司或樂天集團任何成員公司的業務或交易的任何 甘他田徐。

日樂天證券香港持有關於閣下的個人資料將會予以保密·惟樂 天證券香港的聯屬或關連公司或樂天集團可能會提供資料予以 務的任何監管或政府機構;及3)根據保密責任·樂天證券香港 視為適當或合適的任何人士·包括樂天證券香港的聯屬或關連 公司或樂天集團及其僱員。閣下的個人資料可能會被轉移至香 港以外的地方。該處未必可以獲得與在香港相同或類似程度的

根據《個人資料(私隱)條例》的條款,任何客戶均有權:

- 決定樂天證券香港有否持有該客戶的資料及取得該等資料;
- 要求樂天證券香港更下有關客戶的任何不實資料
- 確定福樂天證券香港在個人資料方面的政策及實務及獲告知樂 天證券香港的聯屬或關連公司或樂天集團所持有的個人資料的
- 以書面方式要求樂天證券香港或樂天證券香港的聯屬或關連公 司或樂天集團終止使用其個人資料作直接或間接市場推廣用

樂天證券香港有權就處理根據《個人資料(私隱)條例》的條 款而提出索取資料的要求收取合理的費用。有關索取資料或更 正資料或索取有關樂天證券香港私隱保障政策及實務資料的要 求,請參閱以下聯絡詳情

保障資料主任,香港中環干諾道中 41 號盈置大廈 5 樓 501 室 電話:(852) 2119-0116 傳真:(852) 2119-0117

閣下並無義務提供樂天證券香港所要求的任何個人資料。不 過,若閣下未能提所有所需資料,可能會導致樂天證券香港無 法開立及/或維持閣下的賬戶或向閣下提供服務。樂天證券香港 將盡力確保我們所持有關於閣下的一切資料均屬準確、 ·但若閣下的個人資料有任何改變 · 謹請閣下盡快通知樂 天證券香港,這將有助樂天證券香港確保資料的準確性。

有關 COOKIES

介紹

當您瀏覽我們的網站 sec.rakuten.com.hk(以下簡稱「網站」 包括通過任何媒體形式,例如流動裝置上,樂天證券香港 有限公司 (「樂天證券香港」) 會使用 Cookies,以幫助個人化 網站從而改善您的體驗。使用本網站,即表示您同意我們根據 本政策使用 Cookies。如果您拒絕接受 Cookies,請參閱以下的 管理 Cookies, 內容。

我們保留隨時更改本 cookies 政策的權利。所有修改將在網站上 發布更新的 Cookies 政策後立即生效,您亦同意無需被知會這 些修改。在發布更新的 Cookies 政策後,如您繼續使用本網 站,即表示您已清楚明白並接受所有修改。

Cookies 是什麽:

Cookies 是小型的文本文件,記錄了屬於您的唯一的標識符。通 常我們會在您的電腦和/或流動裝置上存儲 Cookies。 Cookies 讓系統識別用戶及記錄其偏好,每當用戶瀏覽我們的網站時, 樂天證券香港、樂天集團和/或 FXCM 集團可能會使用 Cookies 來提供更個人化的體驗、營銷和廣告,並以改善我們的服務。 我們只會收集和分享匿名的資訊,並無法識別任何個別人士。 使用 Cookies

本網站使用第三方提供的 Cookies,以下描述我們使用的

服務	目的	更多資訊	
Google Analytics (分析)	這些 Cookies 用於收集	Google	
	有關訪客如何使用本網	隱私權資訊	
	站的匿名資訊・我們使		
	用這些資訊來製作報告		
	並幫助我們改進網站。		
Google	這些 Cookies 用於收集	Google	
reCAPTCHA	資訊·以保護我們的網	隱私權資訊	
	站免受惡意程式攻擊。		



Account Application (Individual or Joint Account)

Managing cookies

If you do not agree to the use of cookies, you can clear all the cookies on your devices (i.e. computer and mobile device). You can also disable cookies by changing the setting within your browser. Please note that if cookies are disabled, you may experience reduced functionality or will be prevented from using this Website. For details, please visit www.allaboutcookies.org.

If you have any questions or comments about this Cookies Policy, please contact us directly. Please find our contact information on our Website.

SECURITY TECHNOLOGY

Rakuten Securities HK uses Secure Socket Layer (SSL) encryption technology in order to protect certain information that you submit. This type of technology protects you from having your information intercepted by anyone other than Rakuten Securities HK while it is being transmitted to us. We work hard to ensure that our Web sites are secure and that they meet industry standards. Rakuten Securities HK also uses other safeguards such as firewalls, authentication systems (e.g., passwords and personal identification numbers), and access control mechanisms to control unauthorized access to systems and data.

SHARING INFORMATION WITH OUR AFFILIATES

Rakuten Securities HK may share personal information described above with our affiliates or Rakuten Group for business purposes, such as, but not limited to, servicing customer accounts and informing customers about new investment products and services, or to aid in the trading activity of the company, its affiliates, or employees, and as permitted by applicable law. Our affiliates may include companies controlled or owned by us as well as companies that have an ownership interest in our company. The information we share with affiliates or Rakuten Group may include any of the information described above, such as your name, address, transaction and account information. Our affiliates or Rakuten Group maintain the privacy of your information to the same extent Rakuten Securities HK does in accordance with this Policy.

If you do not wish to have your personal information disclosed to our affiliates or other third parties

as described in this Policy, please contact us via e-mail at:

compliance@sec.rakuten.com.hk, or send your request to:

Rakuten Securities Hong Kong Limited

Attention: Compliance Officer

Unit 501, 5/F, Nexxus Building, 41 Connaught Road Central, Hong Kong.

SHARING INFORMATION WITH THIRD PARTIES

Rakuten Securities HK does not disclose your personal information to third parties, except as described in this Policy. Third party disclosures may include sharing such information with nonaffiliated companies that perform support services for your account or facilitate your transactions with Rakuten Securities HK, including Rakuten Group and those that provide professional, legal, or accounting advice to Rakuten Securities HK. Non-affiliated companies that assist Rakuten Securities HK in providing services to you are required to maintain the confidentiality of such information to the extent they receive it and to use your personal information only in the course of providing such services and only for the purposes that Rakuten Securities HK describes in this

We may also disclose your personal information to third parties to fulfill your instructions or pursuant to your expressed consent.

We want you to know that Rakuten Securities HK will not sell your personal information.

REGULATORY DISCLOSURE

Under limited circumstances, Rakuten Securities HK may disclose your personal information to third parties as permitted by, or to comply with, applicable laws and regulations. For example, we may disclose personal information to cooperate with regulatory authorities and law enforcement agencies to comply with subpoenas or other official requests, and as necessary to protect our rights or property. Except as described in this privacy policy, we will not use your personal information for any other purpose, unless we describe how such information will be used at the time you disclose it to us or we obtain your permission.

**RAKUTEN GROUP

Rakuten Group, Inc., a publicly traded company listed on the Tokyo Stock Exchange (TOKYO: 4755), and its consolidated subsidiaries. Rakuten Securities HK is a wholly owned subsidiary of Rakuten Securities, Inc., a member company of Rakuten Group.

管理 Cookie

如您不同意我們使用 Cookies·您可以刪除裝置(即電腦和流動裝置)上的所有 Cookies。您也可以透過在瀏覽器中更改設置來禁止 Cookies·請注意·如果禁止了 Cookies·您能使用的網站上的功能可能會減少·甚至不能使用本網站。有關詳情·請瀏 覽 www.allaboutcookies.org

如果您對本 Cookies 政策有任何疑問或意見,請直接與我們聯 繫。請在我們的網站上找到我們的聯絡資料。

樂天證券香港採用保密插口層(SSL)加密技術來保障閣下所 提供的資料。這種技術能保障閣下的資料於傳送往樂天證券香 港途中免受他人攔截及盜取。樂天證券香港致力確保網站的安全性,及符合業界的標準。樂天證券香港同時使用其他資料保 障工具,例如防火牆、認證系統(如:密碼和個人身份號碼) 和操控機制來控制未獲授權的系統進入和資料存取。

樂天證券香港可能與聯營機構或樂天集團共享上述個人資料作 商業用途、例如(但不限於)服務客戶賬戶及通知客戶新投資產品及服務,或在適用法律的允許下協助本公司、其聯營機構、或僱員的交易活動。我們的聯營機構可能包括由我們控制 或擁有的公司,及擁有本公司所有權權益的公司。我們與聯營 機構或樂天集團共享的資料可能包括任何上述資料,例如閣下 的姓名、地址、交易及賬戶資料。樂天證券香港及其聯營機構 或樂天集團將根據本私穩保障政策以同一程度維護客戶資料的 私醫性。

如不希望樂天證券香港向其聯營機構或本政策所指的第三者披 露閣下的個人資料,請發電郵至

compliance@sec.rakuten.com.hk 與法務部聯絡·或將閣下的要求郵寄至下列地址:

樂天證券香港有限公司

致: 法務部

香港中環干諾道中 41 號盈置大廈 5 樓 501 室

與第三者共享資料

除了本政策所述者外,樂天證券香港不會向第三者披露閣下的 個人資料。第三方披露可能包括與非聯營機構共享資料,以為閣下賬戶提供支援服務,或者提供便利予閣下與樂天證券香港 的交易,其中包括為樂天集團或向樂天證券香港提供專業、法 律或會計建議的公司。對於協助樂天證券香港為閣下提供服務 的非聯營機構,樂天證券香港要求他們對相關資料進行保密, 他們所接收到的閣下個人資料,只用於提供相關服務及樂天證 券香港於本政策所指定的用途

樂天證券香港也可能向第三者披露閣下的個人資料,以執行閣 下的指令或依照閣下明確作出的同意進行

樂天證券香港希望閣下了解,樂天證券香港是不會出售閣下的 個人資料的。

監管披露

在適用法律及規例許可或為了遵守適用法律及規例的有限情況 下·樂天證券香港可能會向第三者披露閣下的個人資料。例如·在遵從傳票或其他官方的要求以保障樂天證券香港的權利 及財產的情況下,樂天證券香港可能會向監管機構和執法機構 提供相關的個人資料。除了在本政策所述的情況下,樂天證券 香港不會將閣下的個人資料用作其他用途,除非在閣下披露個 人資料時樂天證券香港已說明此等資料將作何種用途,或樂天 證券香港已得到閣下的許可。

樂天集團股份有限公司,一家在東京證券交易所(代號:4755) 上市的公眾買賣公司·及其綜合附屬公司。樂天證券香港為樂 天證券株式會社之全資附屬公司·而樂天證券株式會社為樂天 集團股份有限公司之全資附屬公司。

ARAkuten Group: Rakuten Group, Inc. is a publicly traded company listed on the Tokyo Stock Exchange (TOKYO:4755). All references to "Rakuten Group" refer to Rakuten Group, Inc. and its consolidated subsidiaries. Rakuten Securities Hong Kong Limited is a wholly owned subsidiary of Rakuten Securities, Inc. which is a wholly owned subsidiary of Rakuten Group.

^樂天集團: 指 樂天集團股份有限公司·一家在東京證券交易所 (TOKYO 代號: 4755) 上市的公眾買賣公司及其綜合附屬公司。樂天證券香港有限 公司為 Rakuten Securities, Inc. 之全資附屬公司·而 Rakuten Securities, Inc. 為 Rakuten Group, Inc.之全資附屬公司。