

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

The information below must be completed in FULL.

PART A: ACCOUNT SETTING			
Account and Base Currency (Please check one or more)	Rakuten FX	<input type="checkbox"/> USD	<input type="checkbox"/> HKD
Applicant's E-MAIL Address (Required)			
Security Question (Please check one only)	Security Answer	Security Answer	
<input type="checkbox"/> What was your first pet's name?		<input type="checkbox"/> What is your nickname?	
<input type="checkbox"/> What was the first street you lived on?		<input type="checkbox"/> What is your Mother's maiden name?	

PART B: BASIC INFORMATION			
Corporate Account Information			
Corporate Name			
Type of Incorporation	<input type="checkbox"/> Limited Company	<input type="checkbox"/> Partnership	<input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Trustee
Type of Identity	<input type="checkbox"/> Certificate of Incorporation	<input type="checkbox"/> Business Registration Certificate	<input type="checkbox"/> Partnership Agreement <input type="checkbox"/> Other (Please specify)
Registration No.		Country of Incorporation	
Nature of Business (Required)		Number of years in that business	
Establishment Date		Business Registration No.	
Business Telephone No.	( )	Business Fax No.	( )
Registered Office Address (In English; in the place of incorporation)			
Business Address (In English; if different from the Registered Office Address in the Place of Incorporation)			
Ultimate Ownership (not applicable to listed Company)			
Name of Sole Proprietor/Partner/ultimate Shareholder	% of Interest		
Directorship			
Name of Director	Residential Address		
Financial Status			
Paid up capital	Liquid Assets	Asset Net Worth	The latest Annual Profit
Entity Types (Tick one of the appropriate boxes and provide the relevant information)			
Financial Institution	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company <input type="checkbox"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g., with discretion to manage the entity's assets) and located in a non-participating jurisdiction.		
Active NFE	<input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market. <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market. <input type="checkbox"/> NFE is a government entity, a central bank, or an entity wholly owned by one or more the foregoing entities. <input type="checkbox"/> NFE is an international organization (for example the United Nations or NATO) or an entity wholly owned by one or more international organizations. <input type="checkbox"/> Active NFE other than the above. ( _____ )		
Passive NFE	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction. <input type="checkbox"/> NFE that is not an active NFE.		

Controlling Person (Complete this part if the entity account holder is a passive NFE)		
Indicate the name of all controlling person(s) of the Account Holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior management official. Please complete Controlling Person Self Certification Form for each controlling person.		
1.	4.	7.
2.	5.	8.
3.	6.	9.

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")			
Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purpose and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence. If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number. If the account holder is not a tax resident in any jurisdiction (e.g., fiscally transparent), indicate the jurisdiction in which its place of effective management is situated. If a TIN is unavailable, provide the appropriate reason A, B or C: Reason A – The jurisdiction where the account holder is a resident for tax purpose does not issue TINs to its residents. Reason B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason. Reason C – TIN is not required. Selected this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.			
Jurisdiction of Residence	TIN	Enter Reason A, B or C if no TIN is available	Explain why the account holder is unable to obtain a TIN if you have selected reason B
1.			
2.			
3.			
4.			
5.			

Primary Account Holder or Corporate Authorized Officer Information												
English Name	Surname	Given Name	Chinese Name	Alias (if any)								
(Required)												
<b>Gender</b>	<input type="checkbox"/> Male <input type="checkbox"/> Female											
I.D., or Passport No.	Date of Birth (DD / MM / YYYY)		D	D	/	M	M	/	Y	Y	Y	Y
Citizenship	Place of Birth											
Telephone No. (Mobile) ( )	Telephone No. ( )		Fax No.		( )							
Residential Address (In English; P.O. Box is not accepted)												
Permanent Address (In English; if different from Residential Address; P.O. Box is not accepted)												
Are you a citizen of US?	<input type="checkbox"/> No <input type="checkbox"/> Yes		US Social Security No. (US Resident)									
Are you a tax resident anywhere other than Hong Kong?	<input type="checkbox"/> No <input type="checkbox"/> Yes, please list		Taxpayer Identification Number (TIN)									
Employment Details												
<input type="checkbox"/> Employed <input type="checkbox"/> Self-employed <input type="checkbox"/> Retired <input type="checkbox"/> Unemployed												
Name of Current Employer AND Business address (Required)												
Business Telephone No. ( )	Nature of Business (Required)											
Occupation (Required)	Years with Current Employer		Year(s)		Source of Income (Required)							

Please fill in your Citizenship and Place of Birth

Please fill-in the Nature of Business

**PART C: FINANCIAL INFORMATION**

1. What is your total estimated annual income? (In USD) <i>Note</i> <sup>1</sup>	
<input type="checkbox"/> < \$25,000	<input type="checkbox"/> \$25,000-\$49,999 <input type="checkbox"/> \$50,000-\$99,999 <input type="checkbox"/> \$100,000-\$249,999 <input type="checkbox"/> \$250,000-\$1,000,000 <input type="checkbox"/> > \$1,000,000
2. Net worth (Assets minus liabilities)? (In USD) <i>Note</i> <sup>1</sup>	
<input type="checkbox"/> < \$25,000 <input type="checkbox"/> \$25,000-\$49,999 <input type="checkbox"/> \$50,000-\$99,999 <input type="checkbox"/> \$100,000-\$249,999 <input type="checkbox"/> \$250,000-\$1,000,000 <input type="checkbox"/> > \$1,000,000	
3. Liquid assets (Assets that can be quickly converted to cash) (In USD)	
<input type="checkbox"/> < \$25,000 <input type="checkbox"/> \$25,000-\$49,999 <input type="checkbox"/> \$50,000-\$99,999 <input type="checkbox"/> \$100,000-\$249,999 <input type="checkbox"/> \$250,000-\$1,000,000 <input type="checkbox"/> > \$1,000,000	
4. Have you declared bankruptcy in the last 10 years? If "Yes", provide date and details	<input type="checkbox"/> No <input type="checkbox"/> Yes
5. Do you have or have you ever had any other Account (s) with Rakuten Securities HK? If "Yes", account number(s):	<input type="checkbox"/> No <input type="checkbox"/> Yes
6. Are you:	
1) A member of any commodity exchange? If "Yes", please list:	<input type="checkbox"/> No <input type="checkbox"/> Yes
2) An employee of a regulatory agency? If "Yes", please list:	<input type="checkbox"/> No <input type="checkbox"/> Yes
7. Is any director, substantial shareholder or the ultimate beneficial owner of the Account, or his spouse, partner, child, parent, spouse or partner of his child, or a close associate with him entrusted or has been entrusted with a prominent public function, which includes a head of state, head of Government, senior politician, senior government, judicial or military official, senior executive of a stated-owned corporation and an important political party official?	<input type="checkbox"/> No <input type="checkbox"/> Yes Please specify _____ _____

*Note*<sup>1</sup> 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".

**PART D: TRADING EXPERIENCE**

Do you have any investment experience? <input type="checkbox"/> No <input type="checkbox"/> Yes (If "Yes", please specify years of experience below.)					
Securities	Years	Options	Years	Commodities	Years
Futures	Years	Forex	Years	Others, please specify	Years

Please choose your investment objectives.

Income – Provide current income rather than growth of principal  Growth – Increase investment value over time while accepting price fluctuation  Speculation – Assume the highest degree of 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 \_\_\_\_\_ Rakuten FX (HKD account): HKD \_\_\_\_\_

**Banking information**

Bank Name	Bank Account Number
SWIFT Code (If applicable)	Bank Account Holder's Name (Must be the same as the name on this application)

**PART E: RISK DISCLOSURE STATEMENT**

The risk of loss in leveraged foreign exchange trading can be substantial. You may sustain losses in excess of your initial margin funds. Placing contingent orders, such as "stop-loss" or "stop limit" orders, will not necessarily limit losses to the intended amounts. Market conditions may make it impossible to execute such orders. You may be called upon at short notice to deposit additional margin funds. If the required funds are not provided within the prescribed time, your position may be liquidated. You will remain liable for any resulting deficit in your account. You should therefore carefully consider whether such trading is suitable in light of your own financial position and investment objectives. (Please refer to "Client Agreement for Foreign Exchange Trading")

**PART F: DECLARATION**

- 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.
- 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 as set out in this document hereto in a language of my/our choice (English or Chinese) and I/we have been invited to read the Risk Disclosure Statement, to ask questions and take independent advice if I/we wish.
- 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 of any material changes in writing. Rakuten Securities HK reserves the right, but has no duty, to verify the accuracy of information provided, and to contact such bankers, brokers and others as it deems necessary.
- Rakuten Securities HK is entitled to rely fully on such information and representations for all purposes, unless Rakuten Securities HK receives notice in writing of any change. 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. A copy of Rakuten Securities HK's Personal Information Collection Statement is available upon request.
- I/We have authorized Rakuten Securities HK / Rakuten Group to send information by mail, email or similar electronic messaging services for the purpose of direct marketing unless I/we inform Rakuten Securities HK in writing that I/we do not wish to receive such direct marketing material.
- I/We have agreed that all deposits in any currencies other than the account base currency will be converted into the account base currency and all withdrawals are in Hong Kong Dollars or US Dollars only. I/We have agreed that the exchange rate for USD against HKD used in calculating the amount to be deposited and to be withdrawn are USD1=HKD7.75; the exchange rate for HKD against USD used in calculating the amount to be deposited and to be withdrawn are USD1=HKD7.85, subject to changes in accordance with market conditions and without prior notice to clients. Rates for depositing other currencies will be provided upon request.

7. I/We understand that combined account statement (daily and monthly) are available on Rakuten Securities HK trading platforms. I/We will not receive any copies of the combined account statement via email for Rakuten FX account unless a written instruction is provided to Rakuten Securities HK.

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

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

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

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

**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 offense is liable on conviction to a fine at level 3 (i.e., \$10,000).

**PART G: SIGNATURE**

Corporate Seal		Authorized Officer's Signature	
Corporate Print Name		Client's Print Name	
Date (DD/MM/YY)		Date (DD/MM/YY)	
Partnership Account's Signature		Partnership Account's Signature	
Corporate Print Name		Client's Print Name	
Date (DD/MM/YY)		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 Representative's Signature	_____	SFC CE Number	_____	(INTERNAL USE Only) Reviewed By: Signature: CE No.:
Name of Licensed Representative	_____	Date (DD/MM/YY)	_____	

**IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT**

**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.

**Forms and Instructions**

Description	Forms	Instructions
A foreign individual	<a href="#">W-8BEN (PDF)</a>	<a href="#">W-8BEN (PDF)</a>
A U.S. business entity or U.S. citizen or resident	<a href="#">W-9 (PDF)</a>	<a href="#">W-9 (PDF)</a>
A foreign business entity	<a href="#">W-8BEN-E (PDF)</a>	<a href="#">W-8BEN-E (PDF)</a>
A foreign partnership, a foreign simple trust, or a foreign grantor trust (unless claiming treaty benefits)	<a href="#">W-8IMY (PDF)</a>	<a href="#">W-8IMY (PDF)</a>
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)	<a href="#">W-8ECI (PDF)</a>	<a href="#">W-8ECI (PDF)</a>
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.	<a href="#">W-8EXP (PDF)</a>	<a href="#">W-8EXP (PDF)</a>

**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 HK.

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:

1. 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;
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.

**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絡樂天證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有關或關連公司或樂天集團共享、反覆查證及轉移該等個人資料；
2. 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；
4. 關於或有關樂天證券香港的業務或交易，或樂天證券香港的有關或關連公司或樂天集團或任何成員公司的業務或交易的任何其他用途。

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 data;
- 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 or 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, Nexus 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 reCAPTCHA HA	These cookies are used to collect information to protect our Website from spam software and non-human visitors.	Google privacy information

**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](http://www.allaboutcookies.org).

**Contact us**

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

由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下機構/人士：1) 就其業務經營向樂天證券香港的聯屬或關連公司或樂天集團提供服務的任何代理人或第三方服務供應商；2) 有關或監管樂天證券香港的聯屬或關連公司或樂天集團任何業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保障。

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正有關客戶的任何不實資料；
- 確定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種類；
- 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途。

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 號置業大廈 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，若閣下未能提供所有所需資料，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、完整及最新，但若閣下的個人資料有任何改變，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**

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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 是什麼？**

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 and 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 Cookies：

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

**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](http://www.allaboutcookies.org)。

**聯絡我們**

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。

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Rakuten Securities Hong Kong Limited  
Attention: Compliance Officer  
Unit 501, 5/F, Nexxus Building, 41 Connaught Road Central, Hong Kong.

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樂天證券香港採用加密插口層 (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。

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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](mailto: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

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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。

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