

*In case of any discrepancy between the English and Chinese version of this disclosure, the English version shall prevail.*

In accordance with applicable regulations, TD Ameritrade Hong Kong Ltd. has developed a Business Continuity Plan on how the firm will respond to events that significantly disrupt our business. Since the timing and impact of disasters and/or disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. In addition, TD Ameritrade Hong Kong Ltd. also requires any outsourcers to develop and test a Business Continuity Plan should any disruption in their service occur.

With that in mind, we are providing you with this information on our business continuity plan.

**Contacting Us** – If after a significant business disruption you cannot contact us as you usually do at +852 2374 7888 or one of our client email addresses, then you may call our affiliate's office in the USA at +1-866-839-1100. You may also go to our website at [www.tdameritrade.com.hk](http://www.tdameritrade.com.hk) for further instruction. If you cannot access us through either of these means, you may log in to our trading software and utilise the Instant Messenger on the platform.

**Business Continuity Plan** – Working with our affiliates, we plan to swiftly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and allowing our clients to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption. Together with our executing broker and clearing and custodial firm, our business continuity plan addresses: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with clients, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank, and counter-party impact; regulatory reporting; and assuring our clients prompt access to their funds and securities if we are unable to continue our business. All mission critical systems and records are backed up in geographically separate areas. Your orders and requests for funds and securities could be delayed during this period. TD Ameritrade Hong Kong Ltd., in conjunction with our executing broker and clearing and custodial firm, perform Business Continuity tests. To review TD Ameritrade's Business Continuity Plan Statement click here [https://www.tdameritrade.com/retail-en\\_us/resources/pdf/AMTD5491.pdf](https://www.tdameritrade.com/retail-en_us/resources/pdf/AMTD5491.pdf).

**For more information** – If you have questions about our business continuity planning, you can contact us at +852 2374 7888 or [help@tdameritrade.com.hk](mailto:help@tdameritrade.com.hk).

若此份披露聲明的英文與中文版本內容有任何差異，以英文版本為準。

根據適用規定，德美利證券香港有限公司因應可能嚴重中斷公司業務的狀況，制定了一項業務連續性計劃。由於無法預測災害及/或中斷發生的時間和影響，我們必須在實際情況發生時，作出靈活的反應。此外，德美利證券香港有限公司也要求所有外包商開發並測試業務連續性計劃，以應付任何服務中斷的可能。

因應這一點，以下為您提供有關我們業務連續性計劃的相關資料。

**聯絡我們** – 一旦業務發生嚴重中斷，導致您無法如常透過電話號碼 +852 2374 7888，或其中一個客戶電子郵件信箱與我們聯繫，您可以撥打我們在美國的分公司電話，電話號碼：+1-866-839-1100 與我們聯繫。您也可以前往我們的網站，尋求進一步的指示，網址：[www.tdameritrade.com.hk](http://www.tdameritrade.com.hk)。若您無法透過上述任何方式聯絡我們，您可以登入我們的交易軟件並利用平台上的即時通訊功能。

**業務連續性計劃** – 我們與附屬機構合作，計劃在業務嚴重中斷時，迅速恢復且重新啟動業務運作，並以保障我們的員工及財產、制定財務及業務評估、保護公司帳簿與紀錄，以及容許客戶進行業務交易作回應。簡而言之，業務連續性計劃是為了使公司在重大業務中斷的嚴重性和範圍內，能夠迅速恢復運作而制定。我們的業務連續性計劃與執行經紀及清算與託管公司合作，針對以下各項：數據備份與恢復；所有的關鍵任務系統；財務與營運評估；與客戶、僱員及監管機構的替代溝通渠道；僱員交替的實質工作地點；重要供應商、承包商、銀行及交易對手的影響；監管報告；並在我們無法持續營運的情況下，確保客戶能夠即時存取其資金和證券。所有的關鍵任務系統及記錄均備份於不同的區域。您的交易指令和對資金及證券的請求，在這段期間可能會有所延誤。德美利證券香港有限公司將與執行經紀與清算及託管公司，一同進行業務連續性測試。欲查閱德美利證券業務連續性計劃聲明，請按一下此處：[https://www.tdameritrade.com/retail-en\\_us/resources/pdf/AMTD5491.pdf](https://www.tdameritrade.com/retail-en_us/resources/pdf/AMTD5491.pdf)

**欲了解更多資料** – 若您有任何關於我們業務連續性計劃的問題，請與我們聯繫，聯絡電話：+852 2374 7888 或傳送電郵至：[help@tdameritrade.com.hk](mailto:help@tdameritrade.com.hk)。



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