

個人資料收集聲明

Personal Information Collection Statement

本聲明是根據香港法例第 486 章《香港個人資料（私隱）條例》（「條例」）的要求而提供予華裕證券的個人客戶。本聲明界定的術語與其在現金客戶協議中的涵義相同。

This Statement is provided to the Customer as an individual Customer of the Company in accordance with the requirements of the Hong Kong Personal Data (Privacy) Ordinance, Chapter 486 of The Laws of Hong Kong (the “Ordinance”). Terms defined in this statement have the same meaning as in the Cash Customer Agreement.

1. 披露責任 Disclosure Obligation

除特別聲明外，客戶必須按開戶表上的要求，向華裕證券提供個人資料申請開立戶口、延續戶口及建立或延續交易或信貸設施或要求華裕證券提供金融、證券、投資、信貸、財富管理、投資者教育及相關服務、產品及設施時，須要不時向華裕證券提供資料。如客戶不提供此等資料，則華裕證券並無足夠資料為客戶開立及管理帳戶，客戶亦無從開戶。

Unless otherwise stated the Customer must supply the personal data requested on the Account Opening Form in connection with the Company to open or continuation of accounts and the establishment or continuation of trading or credit facilities or provision of financial, securities, commodities, derivatives, investment, financing, wealth management, investor education and related services, products and facilities. If the Customer does not supply this data, it will not be possible for the Customer to open an Account with the Company as the Company will not have sufficient information to open and administer the Account.

2. 個人資料之使用 Use of Personal Data

2.1 使用者 Users

華裕證券會把客戶的相關資料保密，但有關客戶的所有個人資料（不論是由客戶提供，還是由其他人士所提供；亦不論是在客戶收到載有這些資料的現金客戶協議之前或之後提供）可被任何下列的公司或人士（各稱「使用者」）使用：

Data held by the Company relating to a customer will be kept confidential, but all personal data concerning the Customer (whether provided by the Customer or any other person, and whether provided before or after the date the Customer receives the Cash Customer Agreement containing this information) may be used by any of the following companies or persons (each, a “User”):

- (i) 華裕證券和/或其任何聯營公司（「集團」）；
The Company and/or any of its Associates (the “Group”);
- (ii) 集團的任何董事、高級職員、僱員或代理人；
any director, officer or employee or agent of the Group;
- (iii) 執行客戶指示和/或從事集團業務而由集團授權的任何人士（例如律師、顧問、代名人、託管人等）；
any person (such as lawyers, advisers, nominee, custodian etc.) authorized by the Group when carrying out the Customer’s Instructions and/or the business of the Group;
- (iv) 任何代理人、承辦商或向華裕證券提供與華裕證券的業務運作有關的行政、電訊、電腦、金

融投資、執行交易服務或現金、證券及／或合約結算或交收服務或其他服務的第三者服務供應人；

any agent, contractor or third-party service provider who provides administrative, telecommunications, computer, financial, trade execution, cash, securities and/or contracts clearing or settlement or other services to the Company in connection with the operation of its business ;

- (v) 任何對原有保密責任的人，包括但不限於已承諾把該等資料保密的任何華裕證券成員；
any other person under a duty of confidentiality to the Company including but not limited to any member of the Huayu Group which has undertaken to keep such information confidential ;
- (vi) 任何與客戶已有或建議有交易往來的金融機構或交易商；
any financial institution or dealer with which the customer has or proposes to have dealings ;
- (vii) 任何信貸資料服務機構及於欠帳時給予收數公司；
any credit reference agency and in the event of default, any debt collection agency ;
- (viii) 任何華裕證券的實在或建議受讓人或參與人或附屬參與人或本公司對客戶權利的受讓人；
any actual or proposed assignee of the Company or participant or sub-participant or transferee of Huayu rights in respect of the customers ;
- (ix) 任何為客戶的責任提供或建議提供擔保或抵押的人士；及
any person providing or proposing to provide guarantee or security for customers' obligations ; and
- (x) 在華裕證券必須符合任何司法管轄區的有關法律、法庭指令或監管條例或規則的要求下：任何交易所、實體、代理人、監管或政府機構。通常在此情況下，華裕證券須要遵守保密責任而將不能通知客戶或在徵求客戶的同意後才向上述人士披露有關資料。
any exchange, entity, agency, regulatory or government body in any jurisdiction if required by law or pursuant to any court orders, rules or regulations to which the Company is subject. In such cases, the Company is usually under a duty of secrecy and will not be able to notify a customer or seek his/her consent in relation to such release of information

2.2 目的 Purposes

客戶的所有個人資料均可被任何使用者用於下列目的：

All personal data concerning the Customer may be used by any User for the following purposes:

- (i) 執行新的或現有顧客的查核及信用調查程序，以及協助其他金融機構進行此類工作；
carrying out new or existing Customer verification and credit checking procedures and assisting other financial institutions to do so;
- (ii) 持續帳目管理，包括收取應付款項、執行擔保、抵押或其他權利和利益；
ongoing Account administration, including the collection of amounts due, enforcement of security, charge or other rights and interests;
- (iii) 設計更多產品和服務，或向客戶推廣集團的產品；
designing further products and services or marketing a Group product to the Customer;
- (iv) 將此等資料轉移到香港以外的任何地方；
transfer of such data to any place outside Hong Kong;

- (v) 為下列目的進行的客戶個人資料比較（不論收集此等資料的目的及來源，亦不論此等資料是使用者或任何其他人士所收集）：(A)信用調查；(B)資料核實；和/或(C)編製或核實資料，以便採取使用者或任何其他人士認為合適的行動（包括可能與客戶或任何其他人士的權利、義務或權益有關的行動）；
comparison with the Customer's personal data (irrespective of the purposes and sources for which such data were collected, and whether collected by a User or any other person) for the purpose of: (A) credit checking; (B) data verification; and/or (C) otherwise producing or verifying data which may be used for the purpose of taking such action that a User or any other person may consider appropriate (including action that may relate to the rights, obligations or interest of the Customer or any other person);
- (vi) 用於與客戶有關的任何其他協議和服務條款所規定的目的；
providing on the terms of any other agreements and services relating to the Customer;
- (vii) 與遵守任何法律、規例、法庭命令或其他任何監管機構的命令有關或相關的任何目的；
any purpose relating to or in connection with compliance with any law, regulation, court order or order of any regulatory body; and
- (viii) 任何與執行客戶指示或與集團業務或交易相關的目的。
any other purpose relating to the execution of the Customer's Instructions or in connection with the business or dealings of the Group.

3. 查閱和修正的權利 Rights of Access and Correction

如條例所載，客戶有權查閱和更正客戶的個人資料。一般而言，除若干豁免外，客戶享有權利，可以：
The Customer has the right to have access to and correction of the Customer's personal data as set out in the Ordinance. In general, and subject to certain exemptions, the Customer is entitled to:

- (i) 詢問華裕證券是否持有與客戶有關的個人資料；
enquire whether the Company holds personal data in relation to the Customer;
- (ii) 在合理的時間內要求查閱其個人資料；華裕證券將以合理的方式及清楚易明的格式回覆客戶，但須收取合理的費用；
request access to the Customer's personal data within a reasonable time, at a fee which is not excessive, in a reasonable manner and in a form that is intelligible;
- (iii) 要求更正客戶的個人資料；及
request the correction of the Customer's personal data; and
- (iv) (如客戶要求查閱或更正個人資料的要求被拒絕)要求獲知拒絕的理由，及反對任何該等拒絕。
be given reasons if a request for access or correction is refused, and object to any such refusal.

4. 在直接促銷中使用資料 Use of data in direct marketing

在獲得客戶的同意（包括表示不反對）下，華裕證券可能會把客戶的個人資料作於直接促銷。就

此，請注意：

The Company may use a customer's personal data in direct marketing with the customer's consent (which includes an indication of no objection) for that purpose. In this connection, please note that :

- (i) 客戶的個人資料，例如：姓名、電話號碼、電郵地址、通信地址、帳戶號碼、產品及服務投資組合信息、交易模式及行為、財務背景及投資目標及經驗等，可能會被使用於直接促銷；
the customer's personal data such as the customer's name, telephone number, email address, correspondence address, account number, products and services portfolio information, transaction pattern and behaviour, risk profile, financial background and investment objectives and experience may be used by the Company in direct marketing ;
- (ii) 以下類別的服務、產品、設施及推廣標的可用作促銷：
the following classes of services, products, facilities and marketing subjects may be marketed :
 - 1. 金融、證券、商品、衍生產品、投資、信貸、財富管理、投資者教育及相關服務、產品及設施；
financial, securities, commodities, derivatives, investment, financing, wealth management, investor education and related services, products and facilities ;
 - 2. 獎賞、年資獎勵或優惠計劃及相關服務、產品及設施；
reward, loyalty or privileges programmes and related services, products and facilities ;
- (iii) 上述服務、產品、設施及推廣標的可由華裕證券及／或任何華裕證券之成員提供徵求：
the above services, products, facilities and marketing subjects may be provided or (in the case of donations and contributions) solicited by the Company and/or any member of Huayu.
- (iv) 在獲得客戶的書面同意（包括表示不反對）下，華裕證券亦可能會把上文第 4(i)款所述的個人資料提供予上文 4(iii)款所述的任何人士，以供該等人士在其直接促銷上文第 4(ii)款所述的服務、產品及設施時使用。華裕證券可能會為得益而向該等人士提供個人資料，以供該等人士用於直接促銷。
Huayu may, with the customer's written consent (which includes an indication of no objection), also provide the personal data described in clause 4(i) above to any of the persons referred to in clause 4(iii) above for use by any of them in direct marketing of the services, products, facilities and marketing subjects referred to in clause 4(ii) above. The Company may so provide the personal data to such persons for direct marketing purposes for gain.

如客戶希望華裕證券停止使用客戶的個人資料及提供予其他人士作直接促銷用途，客戶可以書面方式通知華裕證券合規主任，其郵寄地址及傳真號碼載於下文第 6 款。此後，華裕證券必須停止使用及提供客戶的個人資料作直接促銷用途，費用全免。

If a customer wishes the Company to cease to use and provide his/her personal data to other persons for use in direct marketing, the customer may notify the Compliance Supervisor of Huayu in writing by mailing or faxing the written notification to the postal address or fax number provided in clause 6 below. The Company shall then cease to use and provide his/her personal data for direct marketing purposes without any charge.

- 5. 在若干情況下客戶可能透過電子途徑（例如互聯網或話音錄音系統）向華裕證券提供個人資料。儘管華裕證券已竭盡所能以確保其系統的保安及可靠性，基於電訊傳送可能出現多種不可預計的情況，電子通訊的可靠性可能受到影響。有見及此，客戶在利用電子媒介傳送個人資料時應倍加

留意。

There may be instances where customers elect to provide personal information to the Company through electronic means (such as Internet or voice recording system). Whilst the Company generally uses best endeavors to maintain the security and integrity of its systems, due to many unpredictable traffic or other reasons, electronic communication may not be a reliable medium of communication. Customers should take heed of such weaknesses and communicate personal information through electronic devices with caution.

如資料當事人不希望華裕證券如上述使用其資料或將其資料提供予其他人士作直接促銷用途，資料當事人可通知華裕證券行使其選擇權拒絕促銷。

If any individual does not wish the Company to use or provide to other persons his/her data for use in direct marketing as described above, he/she may exercise his/her opt-out right by notifying the Company.

6. 聯絡人 Contact Person

如欲要求停止使用客戶的個人資料作直接促銷用途或查閱和/或更正與客戶有關的個人資料，請向以下人士提出：

If the Customer wishes to request for ceasing to use of personal data in direct marketing, access to data, correction of data or information regarding policies and practices and kinds of data held are to be addressed as follows :

華裕證券有限公司
合規主任
九龍尖沙咀廣東道 5 號海洋中心 9 樓 930 室

Compliance Supervisor
Huayu Securities Limited
Suite 930, 9/F, Ocean Centre,
Harbour City, 5 Canton Road,
Kowloon, Hong Kong