

附錄 2 個人資料收集聲明

本聲明是根據香港《個人資料（私隱）條例》（「條例」）之要求而提供予本公司的個人客戶。本聲明中所提及的術語與客戶協議中的術語具有相同的含義。

1. 披露義務

1.1 除特別聲明外，客戶必須按客戶資料聲明上的要求，將個人資料提供予致富證券有限公司。假如客戶不提供此等資料，本公司將沒有足夠資料來為客戶開設及管理帳戶。

2. 個人資料之使用

2.1 使用者

有關客戶的所有個人資料（不論是由客戶所提供，還是由其他人士所提供；及不論這些資料是在客戶收到客戶協議之前，還是之後）將可被任何下列之公司或人士使用（各為一「使用者」）：

- (a) 致富證券有限公司及/或致富集團有限公司之任何控股/子公司（「本集團」）；
- (b) 本集團的任何董事、高級職員、僱員或代理人；
- (c) 執行客戶指示及/或從事本集團業務而由本集團授權的任何人士（例如律師、顧問、代名人、託管人等）；
- (d) 本集團持有與客戶相關的任何權利和義務的任何實際或建議的承讓人；
- (e) 任何政府機構、監管機構或其他團體或機構（不論是法例或是任何集團成員適用的規例所要求）；及
- (f) 任何本集團之合作夥伴或有聯繫實體，包括（但不限於）提供投資產品或服務之銀行，金融機構，中介人，保險經紀等。

2.2 目的

客戶的所有個人資料可被任何使用者用於下列目的：

- (a) 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從事此類工作；
- (b) 持續帳目管理，包括收取欠款，強制執行擔保、抵押或其他權利和利益；
- (c) 設計或推廣予客戶新產品及服務，包括但不限於本集團的產品及/或服務，或由本集團授權或有關聯的中介人或發行商提供的產品及/或服務；
- (d) 將此等資料轉移到香港以外的任何地方；
- (e) 為了下列目的而進行客戶個人資料的比較（不論收集此等資料的目的及來源，及不論此等資料是向使用者或任何其他人士所收集的）：（A）信用調查；（B）資料核實；及/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）；
- (f) 用於與客戶有關的任何其他協議和服務之條款所規定之目的；
- (g) 有關遵守任何法律、規例、法院判決或其他任何監管機構之判決的任何目的；
- (h) 任何有關於執行客戶指示或與本公司業務或交易有關連的目的。

2.3 使用資料作直接促銷

本集團擬使用及/或轉送客戶的資料給本集團的任何聯繫公司作直接促銷，而本集團須為此目的取得客戶同意（包括客戶不反對之表示）。因此，務請閣下注意：

- (a) 本集團不時持有的閣下的姓名、聯絡詳情、產品及服務投資組合信息、交易模式及行為、財務背景及統計資料可由本集團用於直接促銷；
- (b) 以下服務、產品及標的類別可作推廣：
- (c) 證券、商品、投資、保險及相關服務和產品；

- (d) 有關上文第 2.3(b)(i)款所述促銷標的類別的獎賞、年資獎勵或優惠計劃；及
- (e) 為慈善及/或非牟利目的而作出之捐款及資助；
- (f) 若客戶不願意本集團使用及/或轉送個人資料作直接促銷，客戶可行使其不同意此安排的權利。

3. 查閱和修正的權利

3.1 根據條例之規定，客戶有權查閱和修正客戶的個人資料。一般來說（除某些豁免外）客戶有以下的權利：

- (a) 詢問致富證券有限公司是否持有與客戶有關的個人資料；
- (b) 在合理的時間內，客戶可查閱其個人資料；本公司將以合理的方式及清楚易明的格式回覆客戶，但須收取合理費用；
- (c) 要求修正客戶的個人資料；及
- (d) 如客戶要求查閱或修正個人資料被拒絕，客戶有權要求說明被拒絕的理由及反對任何該等拒絕。

4. 聯絡人

4.1 如客戶要求查閱和/或修正與客戶有關的個人資料，客戶可向本公司的資料保護專員遞交其申請。

Appendix 2 Personal Information Collection Statement

This statement is provided to the Client as an individual account holder of the Company in accordance with the requirements of the Hong Kong Personal Data (Privacy) Ordinance (the “Ordinance”). Terms defined in this statement have the same meaning as in the Client Agreement.

1. Disclosure Obligation

Unless otherwise stated the Client must supply the personal data requested on the enclosed Client Information Statement to Chief Securities Ltd. If the Client does not supply this data, it will not be possible for the Client to open an Account with the Company as the Company will not have sufficient information to open and administer the Account.

2. Use of Personal Data

2.1 Users

All personal data concerning the Client (whether provided by the Client or any other person, and whether provided before or after the date the Client receives the Client Agreement containing this information) may be used by any of the following companies or persons (each, a “User”):

- (a) Chief Securities Ltd and/or any of the holding companies/subsidiaries associated with Chief Group Limited (“the Group”);
- (b) any director, officer or employee or the agent of the Group;
- (c) any person (such as lawyers, advisers, nominee, custodian etc.) authorized by the Group when carrying out the Client’s Instructions and/or the business of the Group;
- (d) any actual or proposed assignee of any rights and obligations of the Group in relation to the Client;
- (e) any governmental, regulatory or other bodies or institutions, whether as required by law or regulations applicable to any member of the Group; and
- (f) any banks, financial institutions or brokers and insurance agents who are business partners, associates or related parties of the Group for the provision of investment products or services.

2.2 Purposes

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

- (a) carrying out new or existing client verification and credit checking procedures and assisting other financial institutions to do so;
- (b) ongoing Account administration, including the collection of amounts due, enforcement of security, charge or other rights and interests;
- (c) designing or marketing further products and services to the Client, including but not limited to the products/services of the Group or products/services provided by a broker or issuer authorized by or related to the Group;
- (d) transfer of such data to any place outside of Hong Kong;
- (e) comparison with the Client’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 Client or any other person);

- (f) providing on the terms of any other agreements and services relating to the Client;
- (g) any purpose relating to or in connection with compliance with any law, regulation, court order or order of any regulatory body; and
- (h) any other purpose relating to the execution of the Client’s instructions or in connection with the business or dealings of the Company.

2.3 Use of Data in Direct Marketing

The Group intends to use and/or transfer the Client’s data to any related companies of the Group for direct marketing and the Group requires the consent (which includes an indication of no objection) of the Client for that purpose. In this connection, please note that:

- (a) your name, contact details, products and services portfolio information, transaction pattern and behaviour, financial background and demographic data held by the Group from time to time may be used by the Group in direct marketing;
- (b) the following classes of services, products and subjects may be marketed:
 - i. securities, commodities, investment, insurance and related services and products;
 - ii. reward, loyalty or privileges programmes in relation to the class of marketing subjects as referred to in clause 2.3(b)(i) above; and
 - iii. donations and contributions for charitable and/or non-profit making purposes.
- (c) If a Client does not wish the Group to use and/or transfer the Client’s data for use in direct marketing, the Client may, without charge, exercise the right to opt-out.

3 Rights of Access and Correction

The Client has the right to have access to and correction of the Client’s personal data as set out in the Ordinance. In general, and subject to certain exemptions, the Client is entitled to:

- (a) enquire whether Chief Securities Ltd. holds personal data in relation to the Client;
- (b) request access to the Client’s personal data within reasonable time, at a fee which is not excessive, in a reasonable manner and in a form that is intelligible;
- (c) request the correction of the Client’s personal data; and
- (d) be given reasons if a request for access or correction is refused, and object to any such refusal.

4 Contact Person

If the Client wishes to request access to and/or correction of personal data concerning the Client, the Client should address the Client’s request to the Data Protection Officer at the Company.