

個人資料收集聲明

本聲明有關個人資料(私隱)政策《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」)之要求而提供予加多利證券有限公司的客户。

1 披露義務

除特別聲明外，客户必須按開戶表格上的要求，將個人資料提供給本集團。假如客户不提供此等資料，本公司將沒有足夠資料來为客户開設及管理帳戶。

2 個人資料之使用

2.1 使用者

有關客户的所有個人資料(不論是由客户所提供，還是由其他人士所提供；及不論這些資料是在客户收到現金客户協議之前，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」)：

- (i) 本公司的任何成員；
- (ii) 本公司的任何董事、高級職員、僱員或代理人；
- (iii) 執行客户指示和/或從事本公司業務而由本公司授權的任何人士(例如律師、顧問、代名人、托管人等)；
- (iv) 本公司持有與客户相關的任何權利和義務的任何實際或建議的承讓人；及
- (v) 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)。

2.2 目的

客户的所有個人資料可被任何使用者用於下列目的：

- (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從事此類工作；
- (ii) 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；
- (iii) 設計提供予客户之新產品和服務，或向客户推廣集團的產品；
- (iv) 將此等資料轉移到香港以外的任何地方；
- (v) 為了下列目的而進行客户個人資料的比較(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；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(包括可能與客户或任何其他人的權利、義務或權益有關的行動)；
- (vi) 用於與客户有關的任何其他協議和服務之條款所規定之目的；
- (vii) 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；及
- (viii) 任何有關於執行客户指示或與集團業務或交易有關連的目的。

2.3 使用資料作直接促銷

本公司可使用及/或轉送客户的資料給本公司的任何成員作直接促銷，而本公司須為此目的取得客户同意(其包括客户不反對之表示)。因此，請注意以下兩點：

- (i) 客户的姓名、聯絡詳情、投資組合資料、交易模式及財務背景可被用於直接促銷本公司的投資及有關財務產品及服務；及
- (ii) 若客户不願意本公司使用及/或轉送個人資料作直接促銷，客户可行使其不同意此安排的權利。

3 查閱和修正的權利

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

- (i) 詢問本公司是否持有與客户有關的個人資料；
- (ii) 在合理的時間內，客户可查閱其個人資料；本公司將以合理的方式及清楚易明的格式回覆客户，但須收取合理的費用。
- (iii) 要求修正客户的個人資料；及
- (iv) 如客户要求查閱或修正個人資料被拒絕，客户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

如客户要求查閱及/或修正個人資料及/或不同意收取直接促銷的資料，客户可致電 **2199 6700** 與本集團的資料保護專員聯絡。

我 / 我們同意加多利證券有限公司以各種方式提供投資或有關財務產品及服務的資料，其包括研究報告及特別優惠等。

個人 / 公司 / 主要帳戶持有人簽署: _____

日期:

聯名帳戶第二戶口持有人: _____

日期:

PERSONAL INFORMATION COLLECTION STATEMENT

This Statement declares in accordance with the Hong Kong Personal Data (Privacy) Ordinance 《Notice on Personal Data(Privacy)》. This Statement is provided to the Customer as a Customer of Gary Cheng Securities Limited, in accordance with the requirements of the Hong Kong Personal Data (Privacy) Ordinance (the “Ordinance”).

1 Disclosure Obligation

Unless otherwise stated the Customer must supply the personal data requested on the account opening form to the Company. 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 Use of Personal Data

2.1 Users

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 client agreement containing this information) may be used by any of the following companies or persons (each, a “User”):

- (i) any member of the Company;
- (ii) any director, officer or employee or agent of the Company;
- (iii) any person (such as lawyers, advisers, nominee, custodian etc.) authorized by the Company when carrying out the Customer’s Instructions and/or the business of the Company;
- (iv) any actual or proposed assignee of any rights and obligations of the Company in relation to the Customer; and
- (v) any governmental, regulatory or other bodies or institutions, whether as required by law or regulations applicable to any member of the Group.

2.2 Purposes

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

- (i) carrying out new or existing client verification and credit checking procedures and assisting other financial institutions to do so;
- (ii) ongoing account administration, including the collection of amounts due, enforcement of security, charge or other rights and interests;
- (iii) designing further products and services or marketing a company Product to the Customer;
- (iv) transfer of such data to any place outside Hong Kong;
- (v) 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) providing on the terms of any other agreements and services relating to the Customer;
- (vii) any purpose relating to or in connection with compliance with any law, regulation, court order or order of any regulatory body; and
- (viii) any other purpose relating to the execution of the Customer’s Instructions or in connection with the business or dealings of the Company.

2.3 Use of Data in Direct Marketing

The Company intends to use and/or transfer the Customer’s data to other members of the Company for direct marketing and the Company requires the consent (including no objection) of the Customer for that purpose. In this connection, please note that:

- (i) the name, contact details, portfolio information, transaction pattern and financial background of the Customer may be used in direct marketing of investment or financial related products and services of the Company; and
- (ii) If a Customer does not wish the Company to use and/or transfer the Customer’s data for use in direct marketing, the Customer may, without charge, exercise the right to opt-out.

3 Rights of Access and Correction

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) enquire whether the Company holds personal data in relation to the Customer;
- (ii) 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) request the correction of the Customer’s personal data; and
- (iv) be given reasons if a request for access or correction is refused, and object to any such refusal.

4 Contact Person

If the Customer wishes to request access to and/or correct personal data and/or opt out of receiving direct marketing material, the Customer should contact the Data Protection Officer on **2199 6700**.

I / We consent to the Company providing information about investment or financial related products and services including research reports and special offers by any means.

Individual/Corporation / Primary Joint Holder's Signature: _____ Secondary Joint Account Holder's Signature: _____
Date: _____ Date: _____