

國元証券(香港)有限公司 - 有關個人資料(私隱)條例事宜

本聲明乃國元証券(香港)有限公司、國元証券經紀(香港)有限公司、國元期貨(香港)有限公司、國元資產管理(香港)有限公司、國元融資(香港)有限公司、國元財務(香港)有限公司、國元証券投資(香港)有限公司(以下統稱：「國元(香港)」)根據香港特別行政區法例第 486 章《個人資料(私隱)條例》(「私隱條例」)作出，目的是向客戶闡明收集個人資料的原因、用途和查詢個人資料記錄的途徑。

1. 客戶在申請開立戶口、延續戶口及建立或延續交易或信貸設施或要求國元(香港)提供金融、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、產品及設施時，須要不時向國元(香港)提供資料。
2. 若客戶未能向國元(香港)提供有關資料，可能會導致國元(香港)無法開立或延續戶口或建立或延續交易或信貸設施或提供上文第 1 款所述的服務、產品或設施。
3. 在客戶與國元(香港)的正常業務往來過程中，國元(香港)亦會收集客戶的資料。
4. 客戶的資料可能會(不論香港或海外)用於下列用途：
 - (i) 為客戶提供服務及設施之日常運作；
 - (ii) 作信貸檢查；
 - (iii) 協助其他金融機構作信貸檢查；
 - (iv) 確保客戶的信用維持良好；
 - (v) 為客戶設計上文第 1 款所述的服務、產品或設施；
 - (vi) 宣傳上文第 1 款所述的服務、產品及設施(有關國元(香港)使用及提供個人資料作直接促銷用途的詳情載於下文第 6 款)；
 - (vii) 確定國元(香港)對客戶或客戶對國元(香港)的債務；
 - (viii) 向客戶及為客戶提供擔保或抵押的人士追收欠款；
 - (ix) 根據國元(香港)須遵守的法律及/或監管要求或法庭命令作出披露(不論香港或海外)；
 - (x) 遵守任何適用的業界成規；及
 - (xi) 與上述任何項目有關的其他用途。

國元(香港)可能會不時將客戶的個人資料轉至香港以外的地方作任何上述之用途。

5. 國元(香港)會把客戶的相關資料保密，但國元(香港)可能會把該等資料提供給以下人士(不論香港或海外)：
 - (i) 任何代理人、承辦商或向國元(香港)提供與國元(香港)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；
 - (ii) 任何對國元(香港)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國元(香港)成員；
 - (iii) 任何與客戶已有或建議有交易往來的金融機構或交易商；
 - (iv) 任何信貸資料服務機構及於欠帳時給予收數公司；
 - (v) 任何國元(香港)的實在或建議受讓人或參與人或附屬參與人或國元(香港)對客戶權利的受讓人；
 - (vi) 任何為客戶的責任提供或建議提供擔保或抵押的人士；及
 - (vii) 在國元(香港)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，國元(香港)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。

6. 在直接促銷中使用資料

在獲得客戶的同意(包括表示不反對)下，國元(香港)可能會把客戶的個人資料作於直接促銷。就此，請注意：

- (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；
- (ii) 以下類別的服務、產品、設施及推廣標的可用作促銷：
 - (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；
 - (2) 獎賞、年資獎勵或優惠計劃及相關服務、產品及設施；
- (iii) 上述服務、產品、設施及推廣標的可由國元(香港)及/或任何下述各方提供徵求：
 - (1) 任何國元(香港)之成員；
- (iv) 在獲得客戶的書面同意(包括表示不反對)下，國元(香港)亦可能會把上文第 6(i)款所述的個人資料提供予上文第 6(iii)款所述的任何人士，以供該等人士在其直接促銷上文第 6(ii)款所述的服務、產品及設施時使用。國元(香港)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。

如客戶希望國元(香港)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國元(香港)合規主任，其郵寄地址及傳真號碼載於下文第 10 款。此後，國元(香港)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。

7. 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）向國元(香港)提供個人資料。儘管國元(香港)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。
8. 在符合私隱條例之條款情況下，任何個人有權：
 - (i) 查核國元(香港)是否持有客戶的資料及查閱有關的資料；
 - (ii) 要求國元(香港)更正與該人士有關而不準確的資料；
 - (iii) 查悉國元(香港)對處理資料的政策與實務及國元(香港)所持有的個人資料的種類。
9. 根據私隱條例的規定，國元(香港)有權就處理任何查閱資料的要求收取合理費用。
10. 如欲要求停止使用客戶的個人資料作直接促銷用途或查詢或更正資料或查詢有關政策、慣例及資料的種類，請向以下人士提出：

國元證券(香港)有限公司
合規主任
香港中環康樂廣場 8 號
交易廣場三期 17 樓

電話：(852) 3769-6820
傳真：(852) 3769-6999
電郵：compliance@gyzq.com.hk
11. 國元(香港)可對本聲明不時作出修改、修訂或補充。最新版本的聲明可於國元(香港)之網站 www.gyzq.com.hk 取覽或以書面方式向國元(香港)索取。
12. 本聲明內，國元證券(香港)有限公司、國元證券經紀(香港)有限公司、國元期貨(香港)有限公司、國元資產管理(香港)有限公司、國元融資(香港)有限公司、國元財務(香港)有限公司、國元證券投資(香港)有限公司、共同及個別稱為「國元(香港)」，而國元(香港)連同彼等各別的控投公司、附屬公司、相聯公司及關聯公司共同及個別稱為「國元(香港)」。所有述及的「客戶」是包括預期的及現有的客戶、國元(香港)網站的訪客及參與推廣活動、比賽或遊戲的人士。
13. 如本聲明的中英文版本有任何歧義，概以英文版本為準。

Personal Information Statement of Guoyuan Securities (Hong Kong) Limited

This Statement is all references to “Guoyuan (Hong Kong)” refer to Guoyuan Securities (Hong Kong) Limited, Guoyuan Securities Brokerage (Hong Kong) Limited, Guoyuan Futures (Hong Kong) Limited, Guoyuan Asset Management (Hong Kong) Limited, Guoyuan Capital (Hong Kong) Limited, Guoyuan Finance (Hong Kong) Limited and Guoyuan Securities Investment (Hong Kong) Limited, made by Guoyuan (Hong Kong) in accordance with the Personal Data (Privacy) Ordinance (Cap. 486) of the Hong Kong Special Administrative Region ('the Ordinance'). The Statement is intended to notify customers of why personal data is collected, how it will be used and to whom data access requests are to be addressed.

1. From time to time, it is necessary for customers to supply Guoyuan (Hong Kong) with data in connection with the opening 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.
2. Failure to supply such data may result in Guoyuan (Hong Kong) being unable to open or continue accounts or establish or continue trading or credit facilities or provide the services, products or facilities mentioned in clause 1 above.
3. It is also the case that data are collected from customers in the ordinary course of the continuation of the business relationship between customers and Guoyuan (Hong Kong)
4. The purposes for which data relating to customers may be used (whether within or outside Hong Kong) are as follows :
 - (i) the daily operation of the services and facilities provided to customers ;
 - (ii) conducting credit checks ;
 - (iii) assisting other financial institutions to conduct credit checks ;
 - (iv) ensuring ongoing credit worthiness of customers ;
 - (v) designing the services, products or facilities mentioned in clause 1 above for customers' use ;
 - (vi) marketing the services, products and facilities mentioned in clause 1 above (details of the use or provision of personal data by Guoyuan (Hong Kong) for direct marketing purposes are set out in clause 6 below) ;
 - (vii) determining the amount of indebtedness owed to or by customers ;
 - (viii) collection of amounts outstanding from customers and those providing guarantee or security for customers' obligations ;
 - (ix) meeting the requirements to make disclosure under the requirements of any legal and/or regulatory requirements or court orders binding on Guoyuan (Hong Kong) (whether within or outside Hong Kong) ;
 - (x) enabling Guoyuan (Hong Kong) to comply with any applicable industry practices ; and
 - (xi) purposes relating to any of the above.

Guoyuan (Hong Kong) may from time to time transfer customers' data outside of Hong Kong for any of the above purposes.

5. Data held by Guoyuan (Hong Kong) relating to a customer will be kept confidential but Guoyuan (Hong Kong) may provide such data to the following parties (whether within or outside Hong Kong) :
 - (i) 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 Guoyuan (Hong Kong) in connection with the operation of its business ;
 - (ii) any other person under a duty of confidentiality to Guoyuan (Hong Kong) including but not limited to any member of the Guoyuan (Hong Kong) Group which has undertaken to keep such information confidential ;
 - (iii) any financial institution or dealer with which the customer has or proposes to have dealings ;
 - (iv) any credit reference agency and in the event of default, any debt collection agency ;
 - (v) any actual or proposed assignee of Guoyuan (Hong Kong) or participant or sub-participant or transferee of Guoyuan (Hong Kong) rights in respect of the customers ;
 - (vi) any person providing or proposing to provide guarantee or security for customers' obligations ; and
 - (vii) 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 Guoyuan (Hong Kong) is subject. In such cases, Guoyuan (Hong Kong) 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

6. USE OF DATA IN DIRECT MARKETING

Guoyuan (Hong Kong) 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) 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 Guoyuan (Hong Kong) in direct marketing ;
- (ii) the following classes of services, products, facilities and marketing subjects may be marketed :
 - (1) financial, securities, commodities, derivatives, investment, financing, wealth management, investor education and related services, products and facilities ;
 - (2) reward, loyalty or privileges programmes and related services, products and facilities ;
- (iii) the above services, products, facilities and marketing subjects may be provided or (in the case of donations and contributions) solicited by Guoyuan (Hong Kong) and/or any of the following persons :
 - (1) any member of Guoyuan (Hong Kong) ;
- (iv) Guoyuan (Hong Kong) may, with the customer's written consent (which includes an indication of no objection), also provide the personal data described in clause 6(i) above to any of the persons referred to in clause 6(iii) above for use by any of them in direct marketing of the services, products, facilities and marketing subjects referred to in clause 6(ii) above. Guoyuan (Hong Kong) may so provide the personal data to such persons for direct marketing purposes for gain.

If a customer wishes Guoyuan (Hong Kong) 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 Guoyuan (Hong Kong) in writing by mailing or faxing the written notification to the postal address or fax number provided in clause 10 below. Guoyuan (Hong Kong) shall then cease to use and provide his/her personal data for direct marketing purposes without any charge.

- 7. There may be instances where customers elect to provide personal information to Guoyuan (Hong Kong) through electronic means (such as Internet or voice recording system). Whilst Guoyuan (Hong Kong) 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.
- 8. Under and in accordance with the terms of the Ordinance, an individual has the right to :
 - (i) check whether Guoyuan (Hong Kong) holds data about him/her and the right of access to such data ;
 - (ii) require Guoyuan (Hong Kong) to correct any data relating to him/her which is inaccurate ; and
 - (iii) ascertain Guoyuan (Hong Kong) policies and practices in relation to data and to be informed of the kind of personal data held by Guoyuan (Hong Kong).
- 9. In accordance with the terms of the Ordinance, Guoyuan (Hong Kong) has the right to charge a reasonable fee for the processing of any data access request
- 10. The person to whom requests 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 :

Compliance Supervisor
Guoyuan Securities (Hong Kong) Limited
17/F, Three Exchange Square
8 Connaught Place
Central, Hong Kong

Phone : (852) 3769-6820
Facsimile : (852) 3769-6999
Email : compliance@gyzq.com.hk

- 11. This Statement may be revised, amended or supplemented from time to time by Guoyuan (Hong Kong). The most up-to-date statement can be found in Guoyuan (Hong Kong) website at www.gyzq.com.hk or available from Guoyuan (Hong Kong) upon written request
- 12. In this Statement, all references to "Guoyuan (Hong Kong)" refer to Guoyuan Securities (Hong Kong) Limited, Guoyuan Securities Brokerage (Hong Kong) Limited, Guoyuan Futures (Hong Kong) Limited, Guoyuan Asset Management (Hong Kong) Limited, Guoyuan Capital (Hong Kong) Limited, Guoyuan Finance (Hong Kong) Limited and Guoyuan Securities Investment (Hong Kong) Limited, collectively or individually and all references to Guoyuan (Hong Kong) together with their respective holding companies, subsidiary companies, associated companies and affiliated companies collectively or individually. All references to "customers" include prospective and existing customers, visitors to Guoyuan (Hong Kong) website and individuals who participate in promotion, contest or game.
- 13. In case of discrepancies between the English and Chinese versions, the English version shall prevail.