

**FUBON SECURITIES (HONG KONG) LIMITED**  
**DATA PRIVACY POLICY**  
**CIRCULAR RELATING TO PERSONAL DATA (PRIVACY) ORDINANCE**  
**(EXTRACTED FROM TERMS AND CONDITIONS FOR ACCOUNT - PART XIII)**

富邦證券 (香港) 有限公司  
私隱政策 - 有關個人資料 (私隱) 條例的客戶通知  
(節錄自賬戶章則及條款 第十三部份)

1. As a Client (the “**Client**”) of Fubon Securities (Hong Kong) Limited (the “**Company**”), it is necessary from time to time for the Client and various other individuals (including but not limited to applicants for Services, shareholders, directors, officers and managers of corporate clients, and other contractual counterparties) (collectively, “**Data Subjects**”) to supply their personal data (“**Personal Data**”), within the meaning ascribed in the Personal Data (Privacy) Ordinance (Chapter 486 of the laws of Hong Kong) (the “**Privacy Ordinance**”) to the Company or members of the Company Group when opening or continuation of accounts, or in the establishment, continuation or provision of investment, dealing or related services.  
作為富邦證券 (香港) 有限公司 (下稱「**公司**」) 之客戶 (下稱「**客戶**」) ，當申請開立或延續戶口或建立、延續或提供投資、交易或相關服務時，客戶及其他個人 (包括但不限於服務申請人、企業客戶的股東、董事、要員及經理及其他訂約方) (統稱「**資料當事人**」) 需不時向公司或公司集團成員提供有關之個人資料 (下稱「**個人資料**」) (香港法例第 486 章) (下稱「**《私隱條例》**」) 所賦予之定義。
2. Failure to supply Personal Data may result in the Company being unable to open or continue accounts or establish, continue or provide investment, dealing or related services.  
若未能向公司提供有關資料，將會導致公司無法開立或延續戶口或建立、延續或提供投資、交易或相關服務。
3. Personal Data may also be collected in the ordinary course of continuation of the business relationship with Company Group.  
個人資料將可能在與公司的正常業務往來過程中被收集。
4. Subject to the provisions of the Privacy Ordinance, any Personal Data may be used for the following purposes:  
資料將可能用於下列用途：
  - (a) the daily operation of the Services provided to the Client;  
為提供服務給客戶之日常運作；
  - (b) conducting verification and credit check procedures for the Client, and assisting other financial institutions in conducting these procedures;  
為客戶進行核實及信貸檢查程序，及協助其他金融機構從事此類程序；
  - (c) ensuring ongoing credit worthiness of the Client;  
確保客戶之信用維持良好；
  - (d) marketing investment, dealing or related services or products;  
宣傳投資、交易或相關服務或產品；
  - (e) executing the Client’s Instructions or in connection with the business or dealings of the Company Group;  
執行客戶指示或與集團公司業務或交易有關連的目的；
  - (f) establishing and maintaining the Company’s risk management related standards;  
設立和維持公司的風險管理相關準則；

- (g) ongoing account management, including but not limited to collection of debts and enforcement of guarantees, charges or other rights and interests;  
持續的賬目管理，包括但不限於收取欠款，強制執行擔保、抵押或其他權利和利益；
- (h) supporting any statements made in any documents in connection with the Services of the Company;  
支援公司在有關服務上作出之任何文件內之任何聲明；
- (i) assisting other relevant parties, professionals, institutions or relevant regulatory authorities to verify certain facts in connection with the Services of the Company;  
協助其他有關第三者、專業人員、機構及有關監管機構確認某些公司在有關服務上之事實；
- (j) complying with any disclosure, reporting, payment, withholding of payment, filing or notification or other similar obligation pursuant to any judicial, statutory or regulatory requirement including compliance with applicable laws, regulations and guidelines, whether of Hong Kong or any other relevant jurisdiction, which the Company are bound by or any failure to comply with will result in adverse consequences (sanctions, penalties, imprisonment etc.) for the Company or Company's officers and staff (for example, compliance with anti-money laundering, counter-terrorist financing, sanctions or anti-corruption laws);  
依照任何司法、法定或規管要求，遵守任何披露、呈報、支付款項、預扣款項、存檔、或通知或其他類似的責任（包括依從適用的法律、規例及指引）（不論是香港或其他相關司法管轄區），而公司受其約束，或如未能遵守，會引致公司或公司的主管人員及員工遭受到不利後果（制裁、懲罰或監禁等）（例如依從打擊洗錢、恐怖分子資金籌集、制裁或反貪污法律）；
- (k) forming part of the records of the recipient of the data as to the business carried on by it; and  
組成接收資料者所經營業務的紀錄的一部份；及
- (l) any other purposes relating to or incidental to any of the above.  
與上述有關或隨附之其他用途。

5. The Company will keep Personal Data confidential but the Company may provide Personal Data to the following persons in furtherance of the purposes set in the above paragraph (4):  
公司會把個人資料保密，但為達至上述第 4 段所述的用途，公司可能會把有關資料提供給：

- (a) any agent or third party service provider who provides services to the Company in connection with the operation of its business;  
任何中間人，或提供與公司業務運作有關服務之第三者服務供應人；
- (b) an appropriate person under a duty of confidentiality to the Company including any Company Group which has undertaken to keep such information confidential;  
任何對公司有保密責任之適當人士，包括對公司有保密資料承諾的公司集團成員公司；
- (c) any person or institution with which the Client has or proposes to have dealings;  
任何與閣下已有或建議有交易之人士及機構；
- (d) credit reference agencies and debt collection agencies (in the event of default payment);  
信貸諮詢機構及（發生拖欠款時）收數公司；
- (e) any regulatory authorities or exchanges which relate to or govern any business of the Company and any Company Group;

任何管治或與公司及公司集團成員的業務有關的監管機構及交易所：

(f) any assignee, transferee, delegate, successor or person to whom the account of the Client is transferred and the authorized person of the Client ; and

任何承讓人、受讓人、代表、繼承人或獲轉讓有關賬戶之人士及授權人士；及

(g) any of the Company's actual or proposed assignee or participant or sub-participant or transferee.  
任何公司之實在或建議受讓人或參與人或附屬參與人或受讓人。

6. The Personal Data may be transferred to any place outside Hong Kong, whether for the processing, holding or use of such data outside Hong Kong, and also to service providers which offer services to any Company Group in connection with the operation of its business.

客戶同意個人資料可轉到香港以外的任何地點（不論是用作在香港以外處理、持有或使用該等資料），並同意給向任何公司集團成員就其業務經營而提供服務的服務提供者。

7. To the extent permitted by law, the Personal Data collected by the Company from time to time may be used and disclosed in accordance with the Data Privacy Policy.

在法律許可的範圍內，客戶同意公司不時收集的個人資料可按照私隱政策的規定使用及披露。

8. In accordance with the terms of the Privacy Ordinance, any individual has the right to:

根據《私隱條例》中之條文，任何人有權：

(a) check whether the Company holds data about him/her and access to such data;  
審查公司是否持有他/她的資料及查閱有關之資料；

(b) require the Company to correct any data relating to him/her which is inaccurate;  
要求公司改正有關他/她不準確之資料；

(c) ascertain the Company's policies and practices in relation to data and be informed of the kind of personal data held by the Company; and  
查悉公司對於資料之政策及實際運用及被通知公司持有何種個人資料；及

(d) in relation to client credit, request to be informed by the Company which items of personal data are routinely disclosed to credit reference agencies or debt collection agencies, and be provided with further information to enable the making of an access and correction request to the relevant credit reference agency or debt collection agency.

就客戶信貸而要求獲通知哪項個人資料是例行披露予信貸諮詢機構或收數公司，以及獲提供進一步的資訊以便向有關的信貸諮詢機構或收數公司作出查閱及改正要求。

9. Please note that the Company may not be able to use the Data Subject's personal data and/or information for direct marketing purposes unless it has received the Data Subject's consent. By signing and agreeing to be bound by this Data Privacy Policy, the Data Subject is deemed to have given the Company its consent for the above uses and purposes. The Company may use the Data Subject's Data for direct marketing and promotion of existing and future Services of the Company, its affiliates, or any of its group companies which may or may not be remunerated. The Company shall cease using Data in direct marketing if so requested by the Data Subject without any charge. Any such request can be sent to the Company's staff at Unit 1002, 10/F, Hong Kong LI-NING Building, 218 Electric Road, North Point, Hong Kong.

公司需得到資料當事人同意方可使用資料當事人個人資料及信息作直銷用途。如資料當事人表示同意受私隱政策約束，將被視為同意上述用途及目的。公司可以使用資料當事人的數據直接營銷和推廣公司、其關聯公司或其任何集團公司的現有和未來服務，而公司有可能或不可能就該等服務收取報酬。資料當事人可隨時免費要求停止使用資料作直銷。有關要求可寄發予香港北角電氣道 218 號香港李寧大廈 10 樓 1002 室予公司的職員。

10. In accordance with the Privacy Ordinance, the Company has the right to charge a reasonable fee for the processing of any data access request. All requests for access of data or correction of data (when the Data Subject considers that its personal data, supplied by the Company following a data access request, are inaccurate) or for information regarding policies and practices and kinds of data held should be addressed as follows:

根據《私隱條例》規定，公司有權就處理任何查閱資料之要求收取合理費用，任何關於資料查閱或改正資料（當資料當事人認為由公司所提供之資料不準確時）或關於資料政策及實際應用或資料種類之要求，應向下列人士提出：

The Data Protection Officer  
Fubon Securities (Hong Kong) Limited  
Unit 1002, 10/F, Hong Kong LI-NING Building, 218 Electric Road, North Point, Hong Kong  
Tel: (852) 2881-4560

私隱資料主任  
富邦證券(香港)有限公司  
香港北角電氣道 218 號香港李寧大廈 10 樓 1002 室  
電話 : (852) 2881-4560