

# 個人資料收集聲明

## Personal Information Collection Statements

本聲明是金裕富證券有限公司(以下簡稱"本公司")根據香港特別行政區《個人資料(私隱)條例》("條例")之規定而作出。目的是向客戶闡明收集個人資料的原因、用途和客戶向本公司查詢個人資料記錄的途徑。本聲明中所提及的術語與客戶協議書中的術語具有相同的含義。

This Statement is made by Golden Rich Securities Limited (hereinafter referred to as the "Company") in accordance with the provisions of the Personal Data (Privacy) Ordinance of the Hong Kong Special Administrative Region (the "Ordinance") for the purpose of illustration to the Client regarding the reasons and purposes of personal data collection as well as the ways for the Client to inspect with the Company the personal data collected. The terms referred to in this Statement shall have the same meanings as defined in the Client Agreement.

### 1. 個人資料之收集

#### Collection of personal data

- 1.1. 除特別聲明外，客戶在申請或延續於本公司的服務、建立或延續本公司為客戶提供的服務時，或因法例規定或監管或其他管理機構所發出的指引，需要不時將有關個人資料提供給本公司。  
Except as specifically stated, the Client is required to provide to the Company from time to time the relevant personal data when the Client applies for or continues the services at the Company or establishes or renews the services the Company provides to the Client, or as a result of legal requirements or guidelines issued by regulatory or other authorities.
- 1.2. 假如客戶不能提供該等資料，可能導致本公司沒有足夠資料為客戶開設、延續及管理帳戶，或遵守法例規定或監管或其他管理機構所發出的指引。  
Failure on the part of the Client to provide such data may result in the Company not having adequate information to open, renew or manage the Accounts for the Client or to comply with legal requirements or guidelines issued by regulatory or other authorities.
- 1.3. 客戶在於本公司延續正常業務運作中，例如，客戶申請增加服務種類、向本公司發出存款、提款指示等，本公司亦可能進一步收集客戶的資料，包括經其他機構合法獲得的資料。  
In the course of the Client's continuation of his normal business operations with the Company, for example, when the Client applies for adding types of services or issues deposit, withdrawal and other Instructions to the Company, the Company may also collect further information about the Client, including the information obtained legally from others institutions.

### 2. 個人資料之使用

#### Use of personal data

#### 2.1. 用途

##### Purposes

客戶明白、確認並授權本公司，上述第1.部分客戶提供予本公司的所有個人資料可被用於下列目的：

The Client understands, confirms and authorizes the Company to use all personal data provided by the Client to the Company in Section 1. above for the following purposes:

- I. 為客戶提供服務所涉及之日常運作；  
the daily operations involved in providing services to the Client;
- II. 執行新的或現有客戶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；  
conducting verification and credit check procedures for new or existing Clients, and assisting other financial institutions in conducting these works;
- III. 設立和維持本公司的風險管理相關準則；  
establishing and maintaining the Company's risk management related standards;
- IV. 持續的賬目管理，包括收取欠款，強制執行擔保、抵押或其他權利和利益；  
on-going account management, including collection of debts and enforcement of guarantees, charges or other rights and interests;
- V. 設計提供予客戶之新產品和服務，或向客戶推廣本公司及/ 或任何聯營公司("集團")的產品；  
designing the new products and services provided to the Client, or marketing products of the Company and/ or any Associate (the "Group") to the Client;
- VI. 任何有關於執行客戶指示或與集團業務或交易有關連的目的；  
any purposes relating to the execution of the Client's Instructions or in connection with the business or dealings of the Group;
- VII. 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)：  
comparing the Client's personal data (irrespective of the purposes and sources for which such data are collected, and whether such data are collected from the User or any other person) for the purpose of:
  - i. 信用調查；  
credit check;
  - ii. 資料核實；  
data verification;
  - iii. 編制或核實資料，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)；  
preparing or verifying data in order to take such actions as the User or any other person consider appropriate (including actions

that may relate to the rights, obligations or interests of the Client or any other person);

- VIII. 為推廣以下服務或產品(無論由本公司行事或由其他第三方行事，後者無論本公司就推廣接受或支付酬勞)：  
promoting the following services or products (whether acted by the Company or by other third parties, and in the latter case, whether the Company accepts or pays compensation in respect of the promotion):
- i. 推廣服務及相關產品；  
promotion services and related products;
  - ii. 年資、獎賞及優惠計劃及相關服務及產品；  
seniority, rewards and benefits programs and related services and products;
  - iii. 與本公司合作之商業夥伴提供之服務及產品；  
services and products provided by the commercial partners working with the Company;
- IX. 用於與客戶有關的任何其他協議和服務之條款所規定的服務；  
services stipulated in any other agreements and terms of service in connection with the Client;
- X. 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；  
any purposes relating to compliance with any laws, regulations, court judgements or judgements of any other regulatory bodies;
- XI. 與上述有關之用途。  
purposes relating to the above.

## 2.2. 使用者 The Users

本公司持有的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本公司客戶協議書之前，或是之後)將予保密，但為達致上述第2.1.部分的目的，本公司可能會把該等資料提供給任何下列之公司或人士使用(各為一"使用者")：

All personal data (whether provided by the Client or by other person; and whether these data are collected prior to or after the Client receives the Client Agreement of the Company) held by the Company relating to the Client will be kept confidential, provided that, to achieve the purposes mention in Section 2.1. above, the Company may provide such data for use by the following companies or persons (each a "User"):

- I.
  - i. 集團內之任何公司；  
any company in the Group;
  - ii. 集團的任何董事、高級職員、雇員或代理人；  
any directors, officers, employees or agents of the Group;
  - iii. 執行客戶指示及/ 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 authorized by the group for executing the Client's Instructions and/ or engaging in business of the Group (such as lawyers, consultants, nominee, custodian, etc.);
  - iv. 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或本公司的客戶權利參與人或附屬參與人或受讓人；  
any actual or proposed transferee of the Group holding any rights and obligations associated with the Client, or participant or sub-participant or transferee of the client rights of the Company;
- II. 與本公司合作之商業夥伴；  
business partners cooperating with the Company;
- III. 任何代理人、承包商、或向本公司提供行政、電訊、電腦、付款或證券結算或其他與本公司業務運作有關的其他服務的第三方服務供應商；  
any agent, contractor or third party service provider who provides to the Company administrative, telecommunications, computer, payment or securities clearing or other services in connection with the operation of the Company's business;
- IV. 任何對本公司有保密責任的人，包括本公司集團內已承諾保密該等資料的公司；  
any person who owes a duty of confidentiality to the Company, including the companies of the Group Company which have undertaken to keep such information confidential;
- V. 任何向客戶帳戶存款的人士(在提供存款證明收據時，其中可能載有客戶的姓名)；  
any person making payment into the Client's account (the deposit receipt, if provided, may contain the name of the Client);
- VI. 資信調查機構，以及在客戶欠賬時，將該等資料提供給收數公司；  
credit reference agencies, and, in the event of default of payment on the part of the Client, provide such data to the debt collection agencies;
- VII. 為達致上述第2.1.部分的目的而被本公司僱用的其他第三方服務供應商；  
other third party service providers employed by the Company in order to achieve the purposes mentioned in Section 2.1. above;
- VIII. 任何政府機構、監管機構或其他團體或機構(不論是根據適用於任何集團成員的法例或規例所要求)。  
any government agencies, regulatory bodies or other organizations or bodies (whether pursuant to the requirements under the laws or regulations applicable to any member of the Group).

基於有利於客戶利益的目的，客戶提供的個人資料將可能被轉移到香港以外的任何地方。  
For the benefit of the Client, the personal data provided by the Client may be transferred to any places outside Hong Kong.

2.3. 直接促銷中使用及轉移資料  
Use and transfer of data in direct marketing

- I. 除2.1.所列示之用途外，本公司將使用客戶的個人資料用於直接促銷用途，包括金融、投資、財務方面的資訊、產品和服務，但會先取得客戶的同意；  
In addition to the purposes listed in Section 2.1., the Company will use the Client's personal data for direct marketing purposes, including finance, investment and financial information, products and services, but will first obtain the Client's consent;
- II. 除上述使用客戶的個人資料用於直接促銷外，本公司亦會將客戶的個人資料提供予集團的任何成員公司及/或第三方服務供應商，用於直接促銷金融、投資、財務方面的資訊、產品和服務，但會先取得客戶的書面同意；  
In addition to the use of the Client's personal data for direct marketing as mentioned above, the Company will also provide the Client's personal data to any member of the Group and/ or third party service providers for direct marketing of finance, investment and financial information, products and services, but will first obtain the Client's written consent;
- III. 若客戶不願意本公司使用及/或提供個人資料作直接促銷，可以隨時要求停止使用/提供客戶的個人資料。  
If the Client do not want the Company to use and/ or provide his personal data for direct marketing purposes, the Client may at any time request the Company to stop using/ providing the Client's personal data.

3. 查閱、修正和拒絕的權利  
Rights of Access, Correction and Refusal

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。一般而言(除某些豁免外)客戶以下的權利：  
According to the Ordinance, the Client has the right to access to and correct the Client's personal data. In general, subject to certain waivers, the Client shall be entitled to:

- I. 詢問本公司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 Client;
- II. 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復客戶，但須收取合理的費用；  
access to the Client's personal data within reasonable time; the Company will response to the Client in a reasonable manner and in an intelligible form, but a reasonable fee shall be charged;
- III. 要求本公司修正客戶任何不準確的個人資料；  
request the Company to correct any inaccurate personal data of the Client;
- IV. 查明本公司對於資料的政策及慣例和獲告知本公司持有的個人資料種類；  
ascertain the Company's policies and practices in relation to the data and be informed of the types of personal data held by the Company;
- V. 在與個人信貸有關的情況下，要求獲告知哪些資料會向資信調查機構或收數公司例行披露，並獲提供進一步資料，藉以向有關資信調查機構或收數公司提出查閱和改正資料的要求；  
in relation to personal credit, request to be informed which data will be routinely disclosed to credit reference agencies or debt collection agencies, and to 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;
- VI. 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。  
if the Client's request for access or correction of personal data is refused, request to be given reasons thereof and object to any such refusals.

3.2. 客戶如果不希望收到本公司提供的服務及相關信息，或欲撤回以上同意，可以通知本公司。  
If the Client does not wish to receive the services and related information provided by the Company or if he wishes to withdraw the above consent, he may notify the Company.

4. 聯絡人  
Contact Person

本聲明不會限制客戶在條例下所享有的權利。如客戶要求查閱及/或修正及/或索取與客戶有關的個人資料及關於資料的政策等要求，或拒絕直接促銷，可向本公司的資料保護專員提出。

This statement will not limit the rights of the Client under the Ordinance. If the Client request to access to and/ or correct and/ or obtain personal data concerning the Client and requirements like policies related to the data, or to refuse direct marketing, the Client may make his request to the data protection officer of the Company.

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