

Circular to clients relating to personal data collection

個人資料收集通告

(a) From time to time, it is necessary for clients to supply FPS with personal data (as defined in the Personal Data (Privacy) Ordinance ("Ordinance")) and other data (collectively, "data") in connection with the opening or continuation of accounts and the establishment or continuation of credit/margin facilities or provision of securities brokerage, futures and options trading, nominee service, investment advisory service or other financial services. At the same time, some of the data are collected pursuant to laws, regulations, rules or codes binding on FPS or any other companies of the Group.

(a) 客戶需不時地向富泰證券提供與開設或維持帳戶、開設或維持貸款/保證金/融資或者與證券經紀、期貨及期權交易、股票託管、投資諮詢服務或其他財務服務有關的個人資料(於《個人資料(私隱)條例》(該「條例」)內定義)及其他資料(合稱「資料」)。同時，有一部分資料是富泰證券或本集團屬下的任何其他公司根據有關法律、規定、守則和規範的要求加以收集的。

(b) Failure to supply such data may result in FPS being unable to open or continue accounts or establish or continue credit/margin facilities or provide securities brokerage, futures and options trading, nominee service, investment advisory service or other financial services.

(b) 如客戶未能提供該等資料，則富泰證券將無法代理客戶開設或維持帳戶，或開設或維持貸款/保證金/融資，或提供證券經紀、期貨及期權交易、股票託管、投資諮詢服務或其他財務服務。

(c) It is also the case that data are collected from clients in the ordinary course of the continuation of the business relationship.

(c) 所有資料均以維持正常業務聯繫的需要而向客戶收集的。

(d) The purposes for which data relating to a client may be used are as follows:-

(d) 與客戶有關的資料主要有如下用途：

(i) the daily operation of the services and credit/margin facilities provided to clients;

(i) 為客戶提供日常運作服務和貸款融資服務；

(ii) conducting credit checks;

(ii) 進行信貸檢查；

(iii) assisting other financial institutions to conduct credit checks;

(iii) 協助其他財務機構進行信貸檢查；

(iv) ensuring ongoing credit worthiness of clients;

(iv) 確保客戶有可靠的信貸償還能力；

(v) designing financial services or related products for clients' use;

(v)根據客戶的需要設計有關的財務服務或相關產品；

(vi) marketing financial services or related products;

(vi)推廣上述的財務服務和相關產品；

(vii) determining the amount of indebtedness owed to or by clients;

(vii)確定客戶未付或應收款項；

(viii) collection of amount outstanding from clients and those providing security for clients' obligations;

(viii)向客戶或為客戶責任提供擔保的人士收回虧欠的款項；

(ix) meeting the requirements to make disclosure under the requirements of any laws, regulations, rules, codes binding on FPS or any other companies of the Group; and

(ix)根據有關法律、規定、守則和規範的要求，富泰證券或本集團屬下的任何其他公司須予披露的資料；及

(x) purposes ancillary or relating thereto.

(x)其他附帶或相關用途。

(e) Data held by FPS relating to a client will be kept confidential but FPS may provide such information to the following parties within or outside Hong Kong to the extent permitted by law:-

(e)富泰證券持有的客戶資料將會保密，富泰證券僅會於法律允許範圍下向下列香港以內或以外人士提供客戶資料：

(i) any agent, contractor or third party service provider who provides administrative, telecommunications, computer, payment, securities futures or options clearing, printing or other services to FPS in connection with the operation of its business;

(i)向富泰證券提供與業務活動有關的管理、電訊、電腦、款項或股票交收、印刷或其他服務的任何代理人、合約商或者第三方面服務提供者；

(ii) the holding company and any other companies of the Group;

(ii)富泰證券屬下的任何其他公司；

(iii) any other person under a duty of confidentiality to FPS including a company of the Group which has undertaken to keep such information confidential;

(iii)遵守富泰證券及本集團保密原則的任何第三者，包括已承諾遵守這一原則的本集團屬下公司；

(iv) any financial institution with which the client has or proposes to have dealings;

(iv)客戶與之有業務往來或即將有業務往來的金融機構；

(v) any actual or proposed assignee of FPS or participant or sub- participant or transferee of FPS's rights in respect of the client;

(v)任何富泰證券的實際或可能承讓人，或者與客戶相關的富泰證券權益參與人或次參與人或轉讓人；

(vi) any other person when we are compelled to make disclosure under the requirements of any laws binding on FPS, any of the companies of FPS or the holding company of FPS;

(vi) 富泰證券或富泰證券屬下任何公司因應法律要求必須向其作出披露的有關人士；

(vii) any person with the client's express or implied consent;

(vii)經客戶直接或間接同意的任何人士；

(viii) any person where our interests require disclosure; and

(viii)富泰證券因本身利益需要而必須對其作出披露的任何人士；及

(ix) any person where the public interest requires disclosure.

(ix)因公眾利益而需要對其作出披露的任何人士。

(f) In the course of performing our duties, FPS may, as permitted by law, match, compare, transfer or exchange any personal data provided by the client, or hereafter obtained, for these or any other purposes by FPS, with data held by government bodies, other regulatory authorities, corporations, organizations or individuals in Hong Kong or overseas for the purpose of verifying those data.

(f)在履行本身的業務活動過程中，富泰證券可能在法律允許的範圍內，把客戶所提供的或富泰證券其後為此目的或其他目的所獲得的客戶個人資料與香港及海外的政府機構、其他監管機構、公司、公共機構或個人所持的資料進行校對、比較、轉換或交換，以便確認該等資料的可靠性。

(g) Under and in accordance with the terms of the Ordinance, any individual:-

(g)在符合該條例之條款之下，任何人士：

(i) has the right to check whether FPS holds data about him/her and the right of access to such data;

(i)有權查詢富泰證券是否持有他/她的資料並有權取得該等資料；

(ii) has the right to require FPS to correct any data relating to him/her which is inaccurate;

(ii)有權要求富泰證券更改有關他/她的不正確資料；及

(iii) has the right to ascertain the FPS's policies and practices in relation to data and to be informed of the kind of personal data held by FPS.

(iii)有權查詢富泰證券擁有該些資料的政策和應用範圍，並可瞭解富泰證券所持有的私人資料的種類。

(h) In accordance with the terms of the Ordinance, FPS has the right to charge a reasonable fee for the processing of any data access request.

(h) 在符合該條例之條款情況下，富泰證券有權對資料查詢人士收取合理的費用。

(i) The person to whom requests for access to data or correction of data or for information regarding policies and practices and kinds of data held are to be addressed is as follows:-

FPS - Data Protection Officer, 28/F., Far East Finance Centre, 16 Harcourt Road, Admiralty, Hong Kong

(i) 任何人士如欲查詢資料或更正資料或查詢有關政策和應用範圍以及私人資料的種類等資料，請隨時致函：富泰證券有限公司-香港金鐘夏慤道 16 號遠東金融中心 28 樓 - 資料保護主任

(j) Nothing in this Circular shall limit the rights of clients under the Ordinance.

(j) 本通知並無限制該條例賦予客戶的權。

(k) This Circular shall upon receipt by a client, be deemed an integral part of all contracts, agreements, credit/margin facility letters, account mandates, and other binding arrangements which the client has entered into or intends to enter into with FPS.

(k) 當客戶收悉本通知，本通知將被視為所有客戶已或企圖與富泰證券簽訂的合約、協議、貸款/保證金融資協議書、開戶文件及其它具約束力文件等的其中一部份。

(l) FPS may, in its absolute and sole discretion, amend, modify or vary this Circular by giving the clients written notice. Such amendment, modification or variation shall take effect thirty (30) days (or a shorter period if such change is necessary or required due to events, circumstances or reasons beyond the Group's reasonable control) from the date of such notice.

(l) 本集團可在經向客戶發送有關書面通知後，自行決定修訂、修正或更改本通知。所作修訂、修正或更改則會從通知日起計的三十(30)天或短時期(如該等轉變並非在本集團合控制範圍內)後生效。