

香港聯合交易所有限公司  
(香港交易及結算所有限公司全資附屬公司)  
THE STOCK EXCHANGE OF HONG KONG LIMITED  
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

## NOMINATION FORM FOR CASH MARKET CONSULTATIVE PANEL MEMBERSHIP

### 現貨市場諮詢小組成員提名表格

#### Section A Particulars of Exchange Participant

第一部份 交易所參與者資料

##### Name of Exchange Participant

交易所參與者名稱

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##### Accomplishment and experience of Exchange Participant in the financial services industry, in particular in the Cash Market business

交易所參與者在金融服務業（特別是現貨市場）的成就和經驗

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##### Has the Exchange Participant ever been a member of the Cash Market Consultative Panel? (If yes, please specify period)

候選交易所參與者曾否擔任現貨市場諮詢小組成員？（如有，請註明時期）

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#### Section B Particulars of Representative

第二部份 代表資料

##### Particulars of Representative 代表資料

Name (English) 姓名 (英文)		Name (Chinese) 姓名 (中文)	
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Current employment and position 現時職業及職位			
Office address 辦公室地址			
Office phone number 辦公室電話號碼		Mobile number 手機號碼	
Email address 電郵地址			
Accomplishment and experience of the representative in the financial services industry, in particular in the Cash Market business 代表在金融服務業（特別是現貨市場）的成就和經驗			

<b>Section C</b> 第三部份	<b>Signature</b> 簽署
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Signature of Authorised Signatory of the Exchange Participant  
 交易所參與者獲授權簽署人簽署  
 (with company chop) (請蓋上公司印章)

Date 日期:

Signature of Representative  
 代表簽署  
 (I hereby consent to the processing of personal data in accordance with the Privacy Notice of the Consultative Panels (included below))  
 (本人在此同意按此表格所述的私隱聲明處理個人資料)

Date 日期:

## Privacy Notice for Consultative Panels

Hong Kong Exchanges and Clearing Limited and its affiliated companies (together "HKEX", "we", "our" or "us") are committed to protecting all Personal Data under our custody, control, or possession. "Personal Data" is any information that relates to an identifiable individual or can be used to identify an individual – sometimes the individual is referred to as a "Data Subject" or consumer.

This Privacy Notice for Consultative Panels ("Notice") applies to the Personal Data we process from Data Subjects who are nominated to participate (and where applicable, elected to serve) as members of our consultative panels relating to the cash market, derivatives market, and clearing business. This Notice sets out Personal Data we collect, generate, and otherwise process, how we process it, who it might be transferred to, how we protect it and Data Subjects' rights under the applicable data protection laws. The Personal Data will be used by HKEX for the purpose of reviewing and assessing nominations to become a member of the relevant consultative panel, to communicate with members of the various consultative panels, to facilitate the operations of the consultative panels, and to facilitate advancement of the purposes of the consultative panels as set out more fully in the applicable Terms of Reference.

If the correct Personal Data is not submitted to HKEX then your nomination for the relevant consultative panel cannot be processed and considered, we may not be able to enable your participation in meetings or the other work of the relevant consultative panel, and/or, we may be unable to process requests from Data Subjects relating to their rights under the applicable data protection laws. In addition, HKEX may be unable to perform certain operational and regulatory functions if we are not provided with the requested Personal Data.

Where HKEX uses Microsoft Teams to run meetings then the following further privacy information will apply: <https://privacy.microsoft.com/en-gb/privacystatement>.

### What Personal Data do we collect and how do we collect it?

#### Information directly submitted by or collected from you:

- Identity data such as name, signature, and position in a company;
- Contact data such as phone number and email address;
- Opinion data such as recordings, transcripts, and minutes documenting participation in meetings of the relevant consultative panel. Note that HKEX collects views and further personal data where this is shared by members participating in meetings;
- Filing and disclosure data (where applicable, for regulatory purposes) such as accomplishments and experience in the financial services industry (and specifically the market and business within scope of the relevant consultative panel).

Note that to facilitate the operations of the Board Executive Committee and board subsidiaries of HKEX, we also publish reports by the consultative panels which may contain your Personal Data.

#### Information collected from third parties:

- Evaluation data such as feedback on your suitability for membership to the relevant consultative panel

#### For Data Subjects in Mainland China:

- To verify your identity and comply with any applicable regulatory requirements, we may process your name, signature, and accomplishments and experience;
- To communicate with you, we may process your name, phone number, and email address;
- To register you for attendance at meetings of the applicable consultative panel, we may process your name, company name, email address and phone number;
- To maintain our corporate records and facilitate the operations and purposes of the relevant consultative panel, we document minutes and produce recordings of and transcripts from your participation in meetings of the relevant consultative panels;
- To produce any HKEX publication or digital content, we may publish your name, industry background, and current employment.

#### For Data Subjects who are California residents:

To the extent the California Consumer Privacy Act and the California Privacy Rights Act apply, the types of Personal Data we collect (and have collected in the past 12 months) includes the categories listed below, as defined by California state law:

Category	Source	Purpose of Processing
Personal identifiers such as your name, address, and email address.	Collected directly from you	For corporate record keeping and (where appropriate) publication, to facilitate the operations and purposes of the consultative panels, and to administer your relationship with us.
Information About You including your name and signature, and telephone number.		
Professional or employment-related information		
Interaction information		

### Sensitive Personal Data

Some Personal Data that we process are classified as "Sensitive Personal Data" under applicable data protection laws and will vary by jurisdiction. If we are required to process Sensitive Personal Data, we will only do so in accordance with applicable law, and with your consent to the extent required under applicable data protection laws.

Our processing of Sensitive Personal Data in certain jurisdictions require specific disclosure:

#### Mainland China:

- To verify your identity for the purposes of processing your Data Subject Requests, we may further process your specific identity information in the form of identification documents.

You need to carefully consider whether your Sensitive Personal Data should be disclosed to us. However, it is necessary for you to provide us with such Sensitive Personal Data, so that we can facilitate or provide certain services to you. If you do not provide us with your separate consent, we may not be able to enable the corresponding activities.

### Why do we use the Personal Data and how do we use it?

The "Legal Basis" is what data protection laws set out as the lawful reasons for processing Personal Data, such as a legitimate interest to facilitate the operations of our business so long as it does not materially and adversely impact your interests, rights, and freedoms.

Legal Basis	Purpose
Legitimate Interests	<ul style="list-style-type: none"><li>Identity and contact data to maintain our correspondence databases for administrative purposes</li><li>Identity and contact data to inform you of logistics to meetings of the relevant consultative panel</li><li>Identity data to verify attendance at meetings of the relevant consultative panel</li><li>Identity and opinion data to document views given on the subject matter set out in the Terms of Reference of the relevant consultative panel</li><li>Identity and visual data to maintain safety and security at our premises</li><li>Information such as identity data to protect HKEX, its staff and assets in any actual or potential dispute</li><li>Information such as identity data in connection with an acquisition / reorganisation within the HKEX Group</li></ul>
Consent	<b>Separate consent</b> <ul style="list-style-type: none"><li>Required if you are a Data Subject in Mainland China and we need to process your Sensitive Personal Data or share your Personal Data with a third party, publicly disclose it, or transfer it outside Mainland China</li></ul>
Legal or Regulatory Obligations	<ul style="list-style-type: none"><li>Discharge the functions of HKEX and any company of which HKEX is the recognised exchange controller</li><li>Comply with a court order, subpoena or other legal process</li><li>Comply with a request by a government authority, law enforcement agency or similar body</li></ul>

	<ul style="list-style-type: none"> <li>Comply with laws applicable to us including domestic data protection laws</li> </ul>
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## Do we disclose Personal Data to third parties or transfer it to another jurisdiction?

HKEX discloses Personal Data to third party organisations and partners (where necessary) to enable us to host and record the meetings of the consultative panels, enable the purposes of the consultative panels, or comply with applicable laws. These third party Personal Data recipients and specific transfer purposes are set out below:

- Affiliates of Hong Kong Exchanges and Clearing Limited
- Our vendor who facilitates the hosting and recording of the meetings.
- Our professional service providers such as legal advisors, tax consultants, and accountants

To fulfil our legal obligations, we may also share your Personal Data with courts, regulatory authorities, government and law enforcement agencies, and other public authorities.

Further details about these third parties may be provided upon request to the address in the "Contact Us" section below. We shall endeavour to provide such information to the extent we are required to do so under applicable data protection laws.

Where required under applicable data protection laws, HKEX will only disclose Personal Data to third parties with your prior consent. In certain jurisdictions, HKEX may also be required to take additional measures prior to giving effect to such transfers (e.g. carrying out privacy impact assessments prior to the transfer).

HKEX may process Personal Data outside of the Data Subject's home jurisdiction, including sharing the Personal Data with third parties. HKEX shall use reasonable endeavours to ensure that the laws and regulations of the destination jurisdiction shall offer the same or comparable level of protection for Personal Data. Where this is not the case, we shall ensure that appropriate safeguards are in place at the time of the transfer by implementing standard contractual clauses or other data transfer mechanism approved by the authorities of the relevant jurisdiction. Where required under applicable data protection laws, we shall also carry out additional measures for the offshore transfer such as carrying out a privacy impact assessment.

The regions where the Personal Data may be hosted or transferred to will vary from time to time, but typically include Hong Kong, the UK, US, EU, Switzerland, Singapore, Japan, India, and Mainland China.

Further details on the processing locations and our measures for safeguarding international transfers (including adequacy decisions) may be obtained upon request to the address in the "Contact Us" section below.

## How long do we keep the Personal Data?

Personal Data is retained in accordance with our internal policies (including our Group Record Retention Policy), and applicable law.

Your Personal Data will be retained by us for as long as is necessary to fulfil the purposes required for the processing. HKEX will also refer to the following factors when determining or confirming the appropriate retention period of Personal Data:

- the original purpose of collection
- the termination of any contract involving the Data Subject's Personal Data
- the limitation period as defined in the applicable law
- the existence of any legal or regulatory investigations or legal proceedings
- specific laws or regulations setting out HKEX's functions, obligations, and responsibilities
- retention period set out in non-statutory guidelines issued by our regulators or international bodies
- the sensitivity of the Personal Data and the degree of risk from the associated processing activity

For Data Subjects in Mainland China (subject to the type of Personal Data), we may retain the Personal Data for not more than ten years from the date of the meeting or resolution. However, further details of our Personal Data retention periods may be obtained upon request to the address in the "Contact Us" section below.

Where any Personal Data is no longer necessary for the purposes for which it is collected, we shall cease the processing of that Personal Data as soon as reasonably practicable (although copies may be retained as necessary for archival purposes, for use in any actual or potential dispute, or for compliance with applicable laws), and take reasonable measures to destroy the relevant Personal Data.

## How do we keep your Personal Data secure?

We will take all practicable and reasonable steps to promote the security of the Personal Data we process in a manner consistent with applicable data protection laws and established international security standards. This includes physical, technical and administrative safeguards, to help prevent unauthorised access, collection, use, disclosure, copying, modification, disposal or similar risks, and the loss of any storage medium or device on which the Personal Data is stored, and to maintain the general security of the data.

## Rights over the Personal Data

As a summary, the following Data Subject rights may be exercised to the extent provided under applicable data protection laws:

- confirm whether we hold the Data Subject's Personal Data and the type of Personal Data held by us
- access a copy of the Personal Data held by us
- delete your Personal Data held by us
- correct or supplement your Personal Data where it is found to be inaccurate
- restrict the processing performed on your Personal Data
- withdraw consent to the processing of your Personal Data in certain situations (e.g. processing carried out on the basis of our legitimate interests)
- transfer the Personal Data to another party in a machine readable format

In certain jurisdictions, Data Subjects may also be provided with additional rights.

California	<ul style="list-style-type: none"> <li>▪ Request that we disclose Personal Data we have collected about you, the categories of sources from which it was collected, the purposes of collecting the information, the categories of third parties with whom we have shared the information, the categories of Personal Data that we have shared with third parties for a business purpose and the categories of information sold and, if any, the categories of third parties information is sold to.</li> </ul>
Mainland China	<ul style="list-style-type: none"> <li>▪ Explanation on the rules of processing the Personal Data</li> <li>▪ Extension of the Data Subject rights to a surviving next-of-kin where the applicable laws permit</li> <li>▪ Transfer of your Personal Data to your designated party, where the applicable laws permit</li> </ul>
United Kingdom and Europe	<ul style="list-style-type: none"> <li>▪ Right to object to processing. You have the right to object to processing to the extent we process your Personal Data because the processing is in our legitimate interests.</li> </ul>
Singapore	<ul style="list-style-type: none"> <li>▪ In certain circumstances, receive information about the ways in which the Personal Data has been or may have been used or disclosed by us in the year before the date of the request.</li> </ul>

Where these rights apply, we shall use reasonable endeavours to fulfil the request or provide an explanation. Please note that under applicable data protection law, we are only obligated to respond to Personal Data requests from the same consumer up to two times in a 12-month period, and we may be limited in what Personal Data we can disclose which is also for the protection of your Personal Data.

We will endeavour to respond to you as soon as possible and, in any event, within the timeframe stipulated under the applicable data protection law. In the event of a potential delay, we will provide an explanation and the expected timeframe for delivery. Under applicable data protection law, we may also be required to charge a reasonable fee for the cost of processing the request.

Please note that we may need to seek confirmation of identity or clarification in order to fulfil the request. If you as the Data Subject would like to appoint an authorised agent to make a request on your behalf, we may require you to verify your identity with us directly before we provide any requested information to your authorised agent unless your authorised agent has power of attorney or acts as a conservator. Information collected for purposes of verifying your request will only be used for verification. For deletion requests, you will be required to submit a verifiable request for deletion and then confirm separately that you want Personal Data about you deleted.

If you would like to exercise your Data Subject rights, please contact the HKEX Group Data Protection Office via one of the channels under the Contact Us section below.

## Contact Us

If you have any questions or comments relating to the content of this Notice, report any concerns about our Personal Data processing, or if you would like to exercise your Data Subject Rights, please contact us through the channels below:

Group Data Protection Officer  
GDPO Office  
Hong Kong Exchanges and Clearing Limited  
8/F., Two Exchange Square  
8 Connaught Place  
Central  
Hong Kong [DataPrivacy@hkex.com.hk](mailto:DataPrivacy@hkex.com.hk)

### UK Representative:

10 Finsbury Square, London, EC2A 1AJ, United Kingdom

### EU Representative:

De Cuserstraat 91, 1081 CN Amsterdam, Postbus/PO Box 7902, 1008 AC  
Amsterdam, Netherlands  
[hkex.eurep@eversheds-sutherland.com](mailto:hkex.eurep@eversheds-sutherland.com)

Please include the following details in any request to exercise your Data Subject Rights:

#### *Identity of Data Subject*

- *Full Name*
- *Company Name*
- *Email Address*
- *Address of principal residence*
- *Identity particulars if acting on behalf of a Data Subject*
- *Contact details held on file or Document(s) to verify identity*

#### *Nature of the Request*

- *Specific Right*
  - *Purpose of the Request*
  - *Preferred communication channel and address for receiving the results of the request\**
  - *Document(s) to support the rights request*

Any Data Subject who has contacted us to express concerns about the way we manage their Personal Data and is of the view that we have not addressed the matter satisfactorily, may also contact the relevant privacy regulator to resolve the matter or seek assistance.

The privacy regulator in the United Kingdom is the Information Commissioner, who may be contacted at <https://ico.org.uk/make-a-complaint/> or by post to: Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF, United Kingdom.

If you live outside of the UK, you may contact the relevant data privacy regulator in your country of residence.

Last Updated: 15 January 2024

## Annex

This Notice relates to the privacy practices of the following HKEX group entities. For contact details of the following entities, please see "Contact Us" section above:

- Hong Kong Exchanges and Clearing Limited
- The Stock Exchange of Hong Kong Limited
- Hong Kong Futures Exchange Limited
- Hong Kong Securities Clearing Company Limited
- HKFE Clearing Corporation Limited
- The SEHK Options Clearing House Limited
- OTC Clearing Hong Kong Limited
- HKEX Information Services Limited
- HKEX Information Services (China) Limited
- HKEX (China) Limited
- HKEX Investment (China) Limited
- HKEX Investment (Hong Kong) Limited
- Hong Kong Futures Exchange Limited Singapore Branch
- The Stock Exchange of Hong Kong Limited Singapore Branch
- HKEX (U.S.) LLC

諮詢小組的隱私聲明

香港交易及結算所有限公司及其聯屬公司（統稱“**香港交易所**”或“**我們**”）致力保護由我們託管、控制或持有的個人資料。“**個人資料**”指與可識別個人有關，或可用於識別個人的任何資料，有時該個人被稱為“**資料當事人**”或消費者。

本諮詢小組隱私聲明（“**聲明**”）適用於我們處理的資料當事人的個人資料，這些人士被提名參與（並在適用的情況下，當選為）與我們現貨市場、衍生品市場及清算業務有關的諮詢小組的成員。本通知列明了我們收集、生成和以其他方式處理的個人資料、我們如何處理這些個人資料、這些個人資料可能會傳輸給誰、我們如何保護這些資料以及資料當事人在適用的資料保護法下的權利。

香港交易所將使用這些個人資料以審核和評估相關諮詢小組成員的提名、與各諮詢小組成員進行溝通、用於諮詢小組的運作，以及促進諮詢小組有關目的（這些目的進一步地列明于適用的職權範圍）的實現。

如果未向香港交易所提交正確的個人資料，則閣下對相關諮詢小組的提名將無法被處理和被考慮，我們可能無法讓閣下參與相關諮詢小組的會議或其他工作，和/或，我們可能無法處理個資料當事人提出的與其根據適用資料保護法享有的權利有關的請求。此外，如果我們未獲得所要求的個人資料，香港交易所可能無法履行某些營運和監管職能。

如果香港交易所使用 Microsoft Teams 召開會議，則將適用以下進一步的隱私資訊：<https://privacy.microsoft.com/en-gb/privacystatement>。

我們收集什麼個人資料，以及我們如何收集？

由閣下直接提供的資料，或者我們直接自閣下的收集的資料：

- 身份數據：如姓名、簽名和公司職位。
- 聯繫方式：如電話號碼和電郵地址。
- 意見數據：如所參與的相關諮詢小組會議的錄音、筆錄和會議記錄。請注意，香港交易所收集意見和進一步的個人資料，若其被議會成員在會議中分享；
- 存檔和披露資料（如適用，用於監管目的）：如在金融服務業（特別是在相關諮詢小組範圍內的市場和業務）的成就和經驗。

請注意，為促進香港交易所董事會執行委員會及董事會附屬公司的運作，我們亦公佈諮詢小組的報告，其中可能載有閣下的個人資料。

從第三方收集的資料：

- 評估數據，例如閣下是否適合加入相關諮詢小組的反饋

來自中國內地的資料當事人：

- 為了驗證閣下的身分並遵守任何適用的監管要求，我們可能會處理閣下的姓名、簽名以及成就和經驗；
- 為了與閣下溝通，我們可能會處理閣下的姓名、電話號碼和電子郵件地址；
- 為了登記閣下參加相關諮詢小組的會議，我們可能會處理閣下的姓名、公司名稱、電子郵件地址和電話號碼；
- 為了保存我們的公司記錄並促進相關諮詢小組的運作和目的，我們記錄會議記錄並製作閣下參加相關諮詢小組會議的錄音和文本記錄；
- 為了製作任何香港交易所出版物或電子內容，我們可能會公佈閣下的姓名、行業背景和當前的任職情況。

來自加利福尼亞州的資料當事人：

若《California Consumer Privacy Act》和《California Privacy Rights Act》適用，我們的收集（包括在過去 12 個月內收集的）個人資料（定義於加利福尼亞州法律）類型如下：

分類	來源	處理目的
閣下的身份數據，例如閣下的姓名，地址和電郵地址	直接收集自閣下	用於公司記錄保存和（如適用）發布，促進諮詢小組的運作和目的，並管理閣下與我們的關係。
關於閣下的資料，包括閣下的姓名，簽名和電話號碼		
專業或就業相關資料		
互動信息		

敏感個人資料

根據適用的資料保護法，我們處理的一些個人資料被歸類為“**敏感個人資料**”，並且會因司法管轄區而異。如果我們需要處理敏感個人資料，我們只會根據適用的法律，並在適用的資料保護法要求的範圍內徵得閣下的同意。

我們在某些司法管轄區處理敏感個人資料需要具體披露：

中國內地：

- 為了驗證閣下的身分以處理閣下的資料當事人請求，我們可能會以身分證文件的形式進一步處理閣下的特定身分資料。

閣下需要仔細考慮是否應向我們披露閣下的敏感個人資料。但是，閣下有必要向我們提供此類敏感個人資料，以便我們為閣下提供便利或提供某些服務。如果閣下未單獨向我們提供同意，我們可能無法開展相應的活動。

為什麼我們使用個人資料，以及我們如何使用它？

“**合法性基礎**”是數據保護法所規定，處理個人資料的合法理由，例如便於我們經營業務的合法權益，只要它不會對閣下的利益、權利和自由產生重大不利影響。

合法性基礎	目的
合法權益	<ul style="list-style-type: none"><li>身分和聯絡數據，用於維護我們的通訊資料庫，以用於管理目的</li></ul>
	<ul style="list-style-type: none"><li>身分和聯絡數據，以告知閣下相關諮詢小組會議的行政性事宜</li></ul>
	<ul style="list-style-type: none"><li>用於驗證出席相關諮詢小組會議的身份數據</li></ul>

	<ul style="list-style-type: none"><li>身分和意見數據，用於記錄相關諮詢小組在職權範圍所涉及的議題的觀點</li><li>身分和影像數據，以維護我們場所的安全</li><li>身分資料等資料，以在任何實際或潛在爭議中保護香港交易所、其員工和資產</li><li>與香港交易所集團內部收購/重組有關的身份數據等信息</li></ul>
同意	<b>單獨同意</b> <ul style="list-style-type: none"><li>如果閣下是中國內地的資料當事人，且我們需要處理閣下的敏感個人資料，與第三方共享閣下的個人資料、公開披露或將其轉移到中國內地以外，則需要閣下的單獨同意</li></ul>
法定義務或者監管職能	<ul style="list-style-type: none"><li>履行香港交易所及香港交易所為其認可控制人的任何公司的職能</li><li>遵守法院命令、傳票或其他法律程序</li><li>遵守政府當局、執法機構或類似機構的要求</li><li>遵守適用於我們的法律，包括本地的數據保護法</li></ul>

我們是否向第三方披露個人資料或將其轉移到另一個司法轄區？

香港交易所向第三方組織和合作夥伴披露個人資料（如有需要），以便我們能夠主持和記錄諮詢小組的會議、實現諮詢小組的目的或遵守適用的法律。這些第三方個人資料接收者和具體傳輸目的如下：

- 香港交易所的附屬公司
- 為我們舉辦會議和錄音提供服務的供應商
- 我們的專業服務提供商，如法律顧問、稅務顧問和會計師

為履行我們的法律義務，我們還可能與法院、監管機構、政府和執法機構以及其他公共機構共享閣下的個人資料。

閣下可以按照下文“聯繫我們”所列明的地址，以獲得關於這些第三方的更多詳細信息。我們將盡力地按照適用的數據保護法提供此類信息。

根據適用的數據保護法，香港交易所只會在閣下事先同意的情況下向第三方披露個人資料。在某些司法轄區，香港交易所可能還需要在此類轉移之前採取額外措施（例如隱私影響評估）。

香港交易所可能會在資料當事人所在司法轄區之外處理個人資料，包括與第三方分享個人資料。香港交易所將盡合理努力確保目的地司法轄區的法律和法規為個人資料提供相同或可比水平的保護。否則，我們將採用標準合同條款或相關司法轄區當局批准的其他數據傳輸機制，確保在傳輸時採取適當的保護措施。若適用的數據保護法要求，我們還將針對這類離岸傳輸採取額外措施，例如進行隱私影響評估。

個人資料被託管或傳輸到的地區會不時發生變化，但通常包括香港、英國、美國、歐盟、瑞士、新加坡、日本、印度和中國內地。

閣下可以按照下文“聯繫我們”所列明的地址，以獲得有關個人資料的處理地區和我們所採取的個人資料跨境轉移有關的保護性措施（包括充分性決定）的更多詳細信息。

我們將保留個人資料多長時間？

個人資料的保留期限將根據我們的內部政策（包括我們的集團[文件保留政策]）和適用法律。

我們保留個人資料的期限為，滿足處理有關個人資料目的之期限。為判斷和確認合適的保留期限，香港交易所還會參考以下因素：

- 收集之目的
- 涉及個人資料的合同之終止
- 適用法律所規定的期限
- 是否存在任何法律或監管調查或法律程序
- 規定香港交易所職能、義務和責任的具體法律或法規
- 我們的監管機構或國際機構發佈的非法定指南中規定的保留期限
- 個人資料的敏感性和相關處理活動的風險程度

對於中國內地的資料當事人（取決於個人資料類型），保留期限通常不超過會議日或決議日起算的十年。然而，閣下可以按照下文“聯繫我們”所列明的方式，以獲得我們的保留期限的更多詳細信息。

如果基於收集之目的而不再需要個人資料，我們將在合理可行的情況下儘快停止處理該等個人資料（但可能會按需保留其副本，以用於存檔，實際或潛在的爭議，或遵守適用法律），並採取合理措施銷毀相關個人資料。

我們如何保護閣下的個人資料安全？

我們將基於符合數據保護法和通用的國際安全標準，採取一切可行和合理的步驟，以提高個人資料的安全。這包括物理、技術和行政性的保障措施，以防止未經授權的訪問、收集、使用、披露、複製、修改、處置或類似風險，以及防止保存有個人資料的存儲介質或設備的丟失，並維護數據的一般安全性。

有關個人資料的權利

簡單而言，適用於閣下的數據保護法可能提供了以下資料當事人權利：

- 確認我們是否持有閣下的個人資料，以及我們持有的個人資料類型
- 獲取我們所持有的個人資料的副本
- 刪除我們持有的個人資料
- 更正或補充閣下的個人資料（如發現其不準確）
- 限制我們處理閣下個人資料
- 撤回我們在某些情況下處理閣下個人資料的許可（例如，基於我們的合法權益進行的處理）
- 以機器可讀格式將個人資料傳輸給另一方

在某些司法轄區，資料當事人也可能被賦予額外的權利。

加利福尼亞州	<ul style="list-style-type: none"><li>要求我們披露我們收集的有關閣下的個人資料、收集資料的來源類別、收集資料的目的、我們與之共享資料的第三方類別、我們出於商業目的與第三方共享資料之類別，以及出售的資料之類別，以及資料所出售的三方之類別（如果有）。</li></ul>
中國內地	<ul style="list-style-type: none"><li>要求我們說明個人資料處理的規則</li><li>在適用法律允許的情況下，將資料當事人的權利擴展至倖存的近親</li><li>在適用法律允許的情況下，將閣下的個人資料傳輸給閣下指定的一方</li></ul>
英國和歐洲	<ul style="list-style-type: none"><li>反對處理的權利。閣下有權反對我們處理閣下的個人資料，如果我們基於我們的合法權益處於閣下的個人資料。</li></ul>
新加坡	<ul style="list-style-type: none"><li>在某些情況下，獲取有關在請求日前的一年內，我們如何（或可能如何）使用或披露個人資料。</li></ul>

如果這些權利適用於閣下，我們將盡合理努力滿足有關請求或提供解釋。請注意，根據適用的數據保護法，我們僅有義務在 12 個月內最多二次響應同一消費者的個人資料請求，並且我們可以披露的個人資料可能會受到限制，這也是為了保護閣下的個人資料。

我們將儘快回復閣下，但不會超過適用的數據保護法所規定的期限。如果可能出現延誤，我們將提供解釋和預計的回復時間。根據適用的數據保護法，我們可能會根據閣下的請求，基於有關成本而收取合理的費用。

請注意，我們可能需要驗證閣下的身份以處理閣下的請求。如果閣下作為資料當事人想要指定授權代理人代表閣下提出請求，除非閣下的授權代理人擁有授權書或是閣下的監護人，否則我們可能會要求閣下在我們向閣下的授權代理人提供任何其請求的信息之前，直接驗證閣下的身份。為驗證閣下的請求而收集的信息將僅用於驗證。對於刪除請求，我們也需驗證閣下的身份，然後單獨確認閣下希望刪除的個人資料。

如閣下欲行使資料當事人權利，請通過下文“聯繫我們”所列明的任一種方式，以聯絡香港交易所集團數據保護辦公室。

## 聯繫我們

閣下如對本聲明有任何疑問或意見，對我們的個人資料處理有疑問，或欲行使資料當事人權利，請通過以下方式與我們聯繫：

Group Data Protection Officer  
GDPO Office  
Hong Kong Exchanges and Clearing Limited  
8/F., Two Exchange Square  
8 Connaught Place  
Central  
Hong Kong  
[dataprivacy@hkex.com.hk](mailto:dataprivacy@hkex.com.hk)

英國代表處：  
10 Finsbury Square, London, EC2A 1AJ, United Kingdom

歐盟代表處：  
De Cuserstraat 91, 1081 CN Amsterdam, Postbus/PO Box 7902, 1008 AC  
Amsterdam, Netherlands  
[hkex.eurep@eversheds-sutherland.com](mailto:hkex.eurep@eversheds-sutherland.com)

就行使資料當事人權利，請告知以下信息：

### 資料當事人的身份

- 全名
- 公司名稱
- 電子郵件地址
- 主要住所地址
- 身份詳情（如代表資料當事人）
- 保存在文檔或文件中以驗證身份的聯繫方式

### 有關請求

- 特定權利
- 請求的目的
- 接收請求結果的首選通訊方式和地址\*
- 支持有關請求的文件

任何對我們的處理不滿的資料當事人，也可以聯繫相關隱私監管機構以解決該問題或尋求幫助。

英國的隱私監管機構是 the Information Commissioner，可通過 <https://ico.org.uk/make-a-complaint/> 聯絡，或郵寄至：Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF, United Kingdom。

如果閣下居住在英國境外，閣下可以聯繫閣下居住國家/地區的相關數據隱私監管機構。

最後更新：2024 年 1 月 15 日

## 附件

本聲明涉及以下香港交易所集團實體的隱私保護安排。有關以下實體的聯絡詳情，請參閱“聯繫我們”。

- 香港聯合交易所有限公司
- 香港期貨交易所有限公司
- 香港中央結算有限公司
- 香港期貨結算有限公司
- 香港聯合交易所期權結算所有限公司
- 香港場外結算有限公司
- 香港交易所資訊服務有限公司
- 香港交易所資訊服務（中國）有限公司
- 香港交易所（中國）有限公司
- HKEX Investment (China) Limited
- 香港交易所投資（香港）有限公司
- 前海聯合交易中心有限公司
- 香港期貨交易所有限公司新加坡辦事處
- 香港聯合交易所有限公司新加坡辦事處
- HKEX (U.S.) LLC