

### OASIS Account Maintenance Form

To: OTC Clear Clearing Operations  
 21/F, One Exchange Square  
 8 Connaught Place Central,  
 Hong Kong

From: \_\_\_\_\_  
 \_\_\_\_\_  
 (Full name of Clearing Member)

Tel: 2211 6508  
 Fax: 2427 1122

OCASS Clearing Member ID: |\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|  
 Contact Person: \_\_\_\_\_  
 Tel: \_\_\_\_\_  
 Fax: \_\_\_\_\_

### Part I: OASIS Admin User Creation<sup>1</sup>/Change of Personal Particulars for OASIS Admin User

- Please tick “✓” in the appropriate box

Request Type	Existing User ID (if applicable)
1. <input type="checkbox"/> Account Creation <input type="checkbox"/> Change of Personal Particulars	
<b>Information of OASIS Admin User</b>	
Name :	Mr/Ms
Title :	
Email Address :	
Telephone No. (Office) :	

Request Type	Existing User ID (if applicable)
2. <input type="checkbox"/> Account Creation <input type="checkbox"/> Change of Personal Particulars	
<b>Information of OASIS Admin User</b>	
Name :	Mr/Ms
Title :	
Email Address :	
Telephone No. (Office) :	

<sup>1</sup>OASIS Admin User Accounts are used for the maintenance of OASIS User Accounts. Clearing Member can operate under the OASIS Admin User Accounts for the creation, de-activation, assignment of access group and password resetting of the OASIS User Accounts running under that Clearing Member.

OTC Clear will provide 4 OASIS Admin User Accounts for each Clearing member. Clearing Member which requires more than 4 OASIS Admin user accounts should obtain pre-approval from OTC Clear before raising the access creation request.



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Request Type	Existing User ID (if applicable)
3. <input type="checkbox"/> Account Creation <input type="checkbox"/> Change of Personal Particulars	
<b>Information of OASIS Admin User</b>	
Name :	Mr/Ms
Title :	
Email Address :	
Telephone No. (Office) :	

Request Type	Existing User ID (if applicable)
4. <input type="checkbox"/> Account Creation <input type="checkbox"/> Change of Personal Particulars	
<b>Information of OASIS Admin User</b>	
Name :	Mr/Ms
Title :	
Email Address :	
Telephone No. (Office) :	

### Part II: OASIS Admin User Accounts

#### Account Deactivation/Password Reset Request

- Please tick “✓” in the appropriate box

Request Type	OASIS Admin User Account's User ID:
<input type="checkbox"/> Account Deactivation <input type="checkbox"/> Password Reset	
<input type="checkbox"/> Account Deactivation <input type="checkbox"/> Password Reset	
<input type="checkbox"/> Account Deactivation <input type="checkbox"/> Password Reset	
<input type="checkbox"/> Account Deactivation <input type="checkbox"/> Password Reset	

## OASIS Account Maintenance Form

### Part III: OASIS User Accounts<sup>2</sup>

#### Access to OASIS API and Margin Simulator Portal

- Please tick “✓” in the appropriate box

Request Type	OASIS User Account’s User ID:	Accessible Functions <sup>3</sup>	
<input type="checkbox"/> Add <input type="checkbox"/> Remove		<input type="checkbox"/> Margin Simulator	<input type="checkbox"/> API Limit Enquiry
		<input type="checkbox"/> API Margin Simulator	<input type="checkbox"/> API Limit Enquiry and API Margin Simulator
<input type="checkbox"/> Add <input type="checkbox"/> Remove		<input type="checkbox"/> Margin Simulator	<input type="checkbox"/> API Limit Enquiry
		<input type="checkbox"/> API Margin Simulator	<input type="checkbox"/> API Limit Enquiry and API Margin Simulator
<input type="checkbox"/> Add <input type="checkbox"/> Remove		<input type="checkbox"/> Margin Simulator	<input type="checkbox"/> API Limit Enquiry
		<input type="checkbox"/> API Margin Simulator	<input type="checkbox"/> API Limit Enquiry and API Margin Simulator
<input type="checkbox"/> Add <input type="checkbox"/> Remove		<input type="checkbox"/> Margin Simulator	<input type="checkbox"/> API Limit Enquiry
		<input type="checkbox"/> API Margin Simulator	<input type="checkbox"/> API Limit Enquiry and API Margin Simulator
<input type="checkbox"/> Add <input type="checkbox"/> Remove		<input type="checkbox"/> Margin Simulator	<input type="checkbox"/> API Limit Enquiry
		<input type="checkbox"/> API Margin Simulator	<input type="checkbox"/> API Limit Enquiry and API Margin Simulator

<sup>2</sup>OASIS User Accounts are used for the daily operations of OASIS web portal. Most of the account maintenance and security administration actions of OASIS User Accounts will be handled by the maintenance actions performed under OASIS Admin User Account. On the other hand, OTC Clear will be responsible for the addition / removal of the access of OASIS Margin Simulator Portal towards any OASIS User Account.

<sup>3</sup> API Margin Simulator Includes access to Margin Simulator Portal



### OASIS Account Maintenance Form

By signing below, we consent to the processing of personal data in accordance with the Privacy Policy Statement included in this form.

\_\_\_\_\_

Authorized Signature(s) and Company Chop

\_\_\_\_\_

Date

(Name of Signatories: \_\_\_\_\_ )

For Office Use Only				
Received Date:	Verified by:	Approved by:	Checked by:	Effective Date:
	Date:	Date:	Date:	
For Office Use Only				



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**Appendix – Accessible Functions for OASIS user**

	OASIS Admin User Accounts	OASIS User Accounts				
ACCESSIBLE FUNCTIONS	selfservice_clientadmin	selfservice_collateral_user	selfservice_collateral_approver	selfservice_documentdownload	selfservice_limitenq	selfservice_logi nonly
<b>OASIS User Account Administration Portal</b>						
View Status of OASIS users	<input checked="" type="checkbox"/>					
Create new OASIS users	<input checked="" type="checkbox"/>					
Amend setting of existing OASIS user	<input checked="" type="checkbox"/>					
Lock/unlock existing OASIS user	<input checked="" type="checkbox"/>					
Download Report on status of OASIS user	<input checked="" type="checkbox"/>					
Authorise request on changes on OASIS user	<input checked="" type="checkbox"/>					
<b>OASIS Collateral Management Portal</b>						
<b>MARGIN CALL</b>						
Enquire Margin Calls Issued		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
Submit change to settle margin call in non-base currencies		<input checked="" type="checkbox"/>				
<b>COLLATERAL DEPOSIT</b>						
View Historical Collateral Deposit Request		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
Create Collateral Deposit Request		<input checked="" type="checkbox"/>				
Cancel Collateral Deposit Request		<input checked="" type="checkbox"/>				
Reject Collateral Deposit Request			<input checked="" type="checkbox"/>			
Authorise Collateral Deposit Request			<input checked="" type="checkbox"/>			
<b>COLLATERAL WITHDRAWAL</b>						
View Historical Collateral Withdrawal Request		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
Create Collateral Withdrawal Request		<input checked="" type="checkbox"/>				
Cancel Collateral Withdrawal Request		<input checked="" type="checkbox"/>				
Reject Collateral Withdrawal Request			<input checked="" type="checkbox"/>			
Authorise Collateral Withdrawal Request			<input checked="" type="checkbox"/>			
<b>REPORT FUNCTIONS</b>						
Search Historical Reports		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		
Download Reports		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		
<b>Settlement Limit Enquiry Portal</b>						
Settlement Limit Monitoring					<input checked="" type="checkbox"/>	

## OASIS Account Maintenance Form

	OASIS Admin User Accounts	OASIS User Accounts				
<b>OASIS Margin Simulator Portal*</b>						
What-if Trade Calculation		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
What-if Portfolio Calculation		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

\* Clearing Members must complete OASIS Account Maintenance Form – Part III to obtain OASIS Margin Simulator Portal access

## Privacy Policy Statement

Hong Kong Exchanges and Clearing Limited, and from time to time, its subsidiaries (together the "Group") (and each being "HKEX", "we", "us" or "member of the Group" for the purposes of this Privacy Policy Statement as appropriate) recognise their responsibilities in relation to the collection, holding, processing, use and/or transfer of personal data under the Personal Data (Privacy) Ordinance (Cap. 486) ("PDPO"). Personal data will be collected only for lawful and relevant purposes and all practicable steps will be taken to ensure that personal data held by us is accurate. We will use your personal data which we may from time to time collect in accordance with this Privacy Policy Statement.

We regularly review this Privacy Policy Statement and may from time to time revise it or add specific instructions, policies and terms. Where any changes to this Privacy Policy Statement are material, we will notify you using the contact details you have provided us with and, where required by the PDPO, give you the opportunity to opt out of these changes by means notified to you at that time. Otherwise, in relation to personal data supplied to us through the HKEX website or otherwise, continued use by you of the HKEX website or your continued relationship with us shall be deemed to be your acceptance of and consent to this Privacy Policy Statement, as amended from time to time.

If you have any questions about this Privacy Policy Statement or how we use your personal data, please contact us through one of the communication channels set out in the "Contact Us" section below.

We will take all practicable steps to ensure the security of the personal data and to avoid unauthorised or accidental access, erasure or other use. This includes physical, technical and procedural security methods, where appropriate, to ensure that the personal data may only be accessed by authorised personnel.

Please note that if you do not provide us with your personal data (or relevant personal data relating to persons appointed by you to act on your behalf) we may not be able to provide the information, products or services you have asked for or process your requests, applications, subscriptions or registrations, and may not be able to perform or discharge the Regulatory Functions (defined below).

### Purpose

From time to time we may collect your personal data including but not limited to your name, mailing address, telephone number, email address, date of birth and login name for the following purposes:

1. to process your applications, subscriptions and registration for our products and services;
2. to perform or discharge the functions of HKEX and any company of which HKEX is the recognised exchange controller (as defined in the Securities and Futures Ordinance (Cap. 571)) ("Regulatory Functions");
3. to provide you with our products and services and administer your account in relation to such products and services;
4. to conduct research and statistical analysis;
5. to process your application for employment or engagement within HKEX to assess your suitability as a candidate for such position and to conduct reference checks with your previous employers; and
6. other purposes directly relating to any of the above.

### Direct marketing

Where you have given your consent and have not subsequently opted out, we may also use your name, mailing address, telephone number and email address to send promotional materials to you and conduct direct marketing activities in relation to HKEX financial services and information services, and financial services and information services offered by other members of the Group.

If you do not wish to receive any promotional and direct marketing materials from us or do not wish to receive particular types of promotional and direct marketing materials or do not wish to receive such materials through any particular means of communication, please contact us through one of the communication channels set out in the "Contact Us" section below. To ensure that your request can be processed quickly please provide your full name, email address, log in name and details of the product and/or service you have subscribed.

### Identity Card Number

We may also collect your identity card number and process this as required under applicable law or regulation, as required by any regulator having authority over us and, subject to the PDPO, for the purpose of identifying you where it is reasonable for your identity card number to be used for this purpose.

### Transfers of personal data for direct marketing purposes

Except to the extent you have already opted out we may transfer your name, mailing address, telephone number and email address to other members of the Group for the purpose of enabling those members of the Group to send promotional materials to you and conduct direct marketing activities in relation to their financial services and information services.

### Other transfers of your personal data

For one or more of the purposes specified above, your personal data may be:

1. transferred to other members of the Group and made available to appropriate persons in the Group, in Hong Kong or elsewhere and in this regard you consent to the transfer of your data outside of Hong Kong;
2. supplied to any agent, contractor or third party who provides administrative,

telecommunications, computer, payment, debt collection, data processing or other services to HKEX and/or any of other member of the Group in Hong Kong or elsewhere; and  
3. other parties as notified to you at the time of collection.

### How we use cookies

If you access our information or services through the HKEX website, you should be aware that cookies are used. Cookies are data files stored on your browser. The HKEX website automatically installs and uses cookies on your browser when you access it. Two kinds of cookies are used on the HKEX website:

**Session Cookies:** temporary cookies that only remain in your browser until the time you leave the HKEX website, which are used to obtain and store configuration information and administer the HKEX website, including carrying information from one page to another as you browse the site so as to, for example, avoid you having to re-enter information on each page that you visit. Session cookies are also used to compile anonymous statistics about the use of the HKEX website.

**Persistent Cookies:** cookies that remain in your browser for a longer period of time for the purpose of compiling anonymous statistics about the use of the HKEX website or to track and record user preferences.

The cookies used in connection with the HKEX website do not contain personal data. You may refuse to accept cookies on your browser by modifying the settings in your browser or internet security software. However, if you do so you may not be able to utilise or activate certain functions available on the HKEX website.

### Compliance with laws and regulations

HKEX and other members of the Group may be required to retain, process and/or disclose your personal data in order to comply with applicable laws and regulations or in order to comply with a court order, subpoena or other legal process (whether in Hong Kong or elsewhere), or to comply with a request by a government authority, law enforcement agency or similar body (whether situated in Hong Kong or elsewhere) or to perform or discharge the Regulatory Functions. HKEX and other members of the Group may need to disclose your personal data in order to enforce any agreement with you, protect our rights, property or safety, or the rights, property or safety of our employees, or to perform or discharge the Regulatory Functions.

### Corporate reorganisation

As we continue to develop our business, we may reorganise our group structure, undergo a change of control or business combination. In these circumstances it may be the case that your personal data is transferred to a third party who will continue to operate our business or a similar service under either this Privacy Policy Statement or a different privacy policy statement which will be notified to you. Such a third party may be located, and use of your personal data may be made, outside of Hong Kong in connection with such acquisition or reorganisation.

### Access and correction of personal data

Under the PDPO, you have the right to ascertain whether we hold your personal data, to obtain a copy of the data, and to correct any data that is inaccurate. You may also request us to inform you of the type of personal data held by us. All data access requests shall be made using the form prescribed by the Privacy Commissioner for Personal Data ("**Privacy Commissioner**") which may be found on the official website of the Office of the Privacy Commissioner or via this link <https://www.pcpd.org.hk/english/publications/files/Dforme.pdf>

Requests for access and correction of personal data or for information regarding policies and practices and kinds of data held by us should be addressed in writing and sent by post to us (see the "Contact Us" section below).

A reasonable fee may be charged to offset our administrative and actual costs incurred in complying with your data access requests.

### Termination or cancellation

Should your account or relationship with us be cancelled or terminated at any time, we shall cease processing your personal data as soon as reasonably practicable following such cancellation or termination, provided that we may keep copies of your data as is reasonably required for archival purposes, for use in relation to any actual or potential dispute, for the purpose of compliance with applicable laws and regulations and for the purpose of enforcing any agreement we have with you, for protecting our rights, property or safety, or the rights, property or safety of our employees, and for performing or discharging our functions, obligations and responsibilities.

### General

If there is any inconsistency or conflict between the English and Chinese versions of this Privacy Policy Statement, the English version shall prevail.

### Contact us

By Post:  
Personal Data Privacy Officer  
Hong Kong Exchanges and Clearing Limited  
8/F., Two Exchange Square  
8 Connaught Place  
Central  
Hong Kong

By Email:  
[DataPrivacy@HKEX.COM.HK](mailto:DataPrivacy@HKEX.COM.HK)

## 私隱政策聲明

香港交易及結算所有限公司及其不時附屬公司（統稱「本集團」）（在本私隱政策聲明中，各自稱為「香港交易所」、或「本集團成員公司」），視適用情況而定）明白《條例》（即《個人資料（私隱）條例》）（該「條例」）其第486章《個人資料（私隱）條例》（該「條例」）的實效。我們採取一切合理措施，以確保我們的個人資料處理及轉移用途，並無與閣下所收集閣下個人資料的用途相抵觸。

我們定期檢討這項私隱政策聲明，並可能不時加以修訂或加修。具體而言，我們會通過閣下提供給我們的聯絡方式通知閣下，也該選擇拒絕接收其他方面所收集的個人資料，閣下繼續使用或受此項私隱政策聲明（不時修訂）。

如對這項私隱政策聲明或我們如何使用閣下的個人資料有任何疑問，請通過下文「聯繫我們」所載的任何一個通訊渠道與我們聯繫。

我們會採取一切合理措施，以確保閣下個人資料的安全，以及避免個人資料被意外上、刪除或作其他用途。這包括在未經閣下授權的情況下，將閣下個人資料轉授給任何人士。

請注意：如閣下沒有向我們提供個人資料（或有關閣下代理人的個人資料），我們可能無法提供閣下要求的資訊、產品或服務，又或無法處理閣下的要求、申請、訂購或登記，亦可能無法執行或履行監管職能（定義見下文）。

### 目的

我們可能會為了以下目的而不時收集閣下的個人資料（包括但不限於閣下的姓名、郵寄地址、電話號碼、電郵地址、出生日期和登入名稱）：

1. 處理閣下的申請、訂購及登記使用我們的產品及服務；
2. 執行或履行香港交易所以及任何由其作為認可控制人的公司（定義見香港法例第571章《證券及期貨條例》）的職能（「監管職能」）；
3. 向閣下提供我們的產品和服務，以及與此相關的賬戶管理；
4. 進行研究和統計分析；
5. 處理閣下應聘香港交易所職位或工作的申請，以評估閣下是否為適合人選，並向閣下的前僱主進行相關的背景查證；及
6. 與上列任何一項有直接關聯的其他目的。

### 直接營銷

如閣下已經給予同意而後並無撤回，我們也可能會使用閣下的姓名、郵寄地址、電話號碼和電郵地址，用以寄送宣傳資料，就香港交易所以及本集團其他成員公司的金融和資訊服務進行直接營銷活動。

如不希望收到我們的宣傳和直接營銷資料，或不希望收到某類宣傳和直接營銷資料，又或希望在某種途徑收到此類材料，請通過下文「聯繫我們」所載的其中一種通訊渠道聯絡我們。為確保我們能迅速處理閣下的要求，請提供閣下的全名、電郵地址、登入名稱及所訂閱產品及／或服務的詳情。

### 身份證號碼

我們也可能會根據適用法律或規例又或任何對我們有管轄權的監管者的要求而收集並處理閣下的身份證號碼，另外亦可能因為需要識別閣下的身份而（在不抵觸該《條例》的前提下）收集並處理閣下的身份證號碼。

### 轉移閣下的個人資料作直接營銷

除非閣下已經拒絕，否則我們可能會將閣下的姓名、郵寄地址、電話號碼和電郵地址轉交本集團其他成員公司，使其可向閣下寄送宣傳資料，就其金融和資訊服務進行直接營銷活動。

### 其他轉移個人資料的情況

- 為了以上一個或多於一個目的，閣下的個人資料可能會被：
1. 轉交予本集團其他成員公司，而使本集團（在香港或其他地方的相關人員獲得閣下的個人資料；就此，閣下同意將閣下的個人資料轉離香港；
  2. 提供予任何向香港交易所及／或本集團在香港或其他地方的其他成員提供行政、電訊、電腦、付款、追收欠款、資料處理或其他服務的代理、承辦商或第三方；及
  3. 轉交予其他人士（收集資料時會通知閣下）。

### 我們如何使用 cookies

閣下通過香港交易所網站查閱我們的資訊或服務時，應當留意到網站有使用 cookies。Cookies 是指儲存在閣下瀏覽器內的資料檔。閣下進入香港交易所網站時，網站即在閣下瀏覽器內自動安裝並使用 cookies。香港交易所網站使用兩種 cookies。

**Session Cookies：**一種只在閣下瀏覽香港交易所網站期間留存於瀏覽器內的短暫性質 cookies，用處在於取得並儲存配置資訊及管理網站，包括「攜帶」資訊以隨閣下瀏覽網站的不同版頁，譬如以免閣下每到一個版頁也要重新輸入資訊。**Session cookies** 也會用來編備關於香港交易所網站使用的匿名統計資料。

**Persistent Cookies：**一種留存於瀏覽器內較長時間的 cookies，用以編備關於香港交易所網站使用的匿名統計資料，或追蹤和記錄使用者的習慣偏好。

香港交易所網站所用的 cookies 不包含個人資料。閣下可以更改瀏覽器或網路安全軟件中的設定，拒絕接受瀏覽器內的 cookies。不過，這樣或會令閣下不能使用或啟動香港交易所網站中的某些功能。

### 法律與法規的遵守

香港交易所及本集團其他成員公司或為了遵守適用法律及法規例，或遵守法院指令、傳票或其他法定程序（無論在香港或其他地方），或遵從政府機關、執法機構或類似機構（無管其位於香港或其他地方）提出的要求，又或執行或履行監管職能，而必須保留、處理及／或披露閣下的個人資料。香港交易所及本集團其他成員公司或須披露閣下的個人資料，以履行與閣下的協議，或保護我們或我們僱員的權利、財產或安全，又或執行或履行監管職能。

### 公司重組

隨著我們持續發展業務，我們可能會重組集團架構或出現控制權易手或業務合併。在這些情況下，閣下的個人資料或會按這份私隱政策聲明或另一份將會通知閣下的私隱政策聲明而移交繼續運營我們業務或類似服務的第三方。此等第三方或在香港以外的地方，就此等收購或重組而使用閣下個人資料的地點也可能不在香港。

### 查閱及更正個人資料

根據該《條例》，閣下有權查明我們是否持有閣下的個人資料、取得資料的備份及更正任何不準確資料，也可以要求我們通知閣下其持有資料的種類。如欲查閱有關資料，須使用個人資料私隱專員（「私隱專員」）指定的表格（可於私隱專員公署的官方網站下載）或經此連接 [https://www.pcpd.org.hk/english/publications/files/Dform\\_e.pdf](https://www.pcpd.org.hk/english/publications/files/Dform_e.pdf) 提出。

如欲查閱和更正個人資料，或查閱有關政策與常規以及我們所持有資料種類，應以書面及郵遞形式提出要求（見以下「聯繫我們」）。

我們可能會因應閣下查閱資料要求而產生的行政及實際成本而收取合理的費用。

### 終止或取消

任何時候如果閣下在我們的賬戶或與我們的關係被取消或終止，我們會隨即在合理情況下盡快終止處理閣下的個人資料，但也可按合理需要而保留有關資料，合理的需要包括：資料歸檔；解決實際或潛在的爭議；遵守適用法律及規例；履行與閣下的任何協議；保障我們及我們僱員的權利、財產或安全；以及執行或履行我們的職能、義務及責任等。

### 一般資料

本私隱政策聲明中英文本如有差異，概以英文版為準。

### 聯繫我們

郵寄：  
香港中環康樂廣場8號  
交易廣場二期8樓  
香港交易及結算所有限公司  
個人資料隱私主任

電郵：  
[DataPrivacy@HKEX.COM.HK](mailto:DataPrivacy@HKEX.COM.HK)



## 私隱政策聲明

香港交易及結算所有限公司（「交易所」）及本集團其他成員公司（「成員公司」）可能會不時向閣下收集閣下的個人資料，以履行與閣下有關的業務。閣下在與成員公司或交易所進行交易時，我們可能會不時向閣下收集閣下的個人資料，以履行與閣下有關的業務。

我們可能會不時向閣下收集閣下的個人資料，以履行與閣下有關的業務。閣下在與成員公司或交易所進行交易時，我們可能會不時向閣下收集閣下的個人資料，以履行與閣下有關的業務。

如閣下對我們的私隱政策聲明或我們如何使用閣下的個人資料有任何疑問，請透過下文「聯絡我們」所載的任一通訊渠道與我們聯絡。

我們會採取一切合理措施，以確保閣下的個人資料的安全，以及防止個人資料被洩露、遺失、毀壞或損壞。

請注意：如閣下沒有向我們提供個人資料（或有閣下代理人或服務人員無法處理閣下的要求、申請、訂購或登記，亦可能無法執行或履行監管職能（定義見下文）。

### 目的

1. 處理閣下的申請、訂購及登記使用我们的产品或服务；
2. 執行或履行香港交易所以及任何由其作为认可控制人的公司（定义见香港法例第 571 章《证券及期货条例》）的职能（「监管职能」）；
3. 向閣下提供我们的产品和服务，以及与此相关的账户管理；
4. 进行研究和统计分析；
5. 处理閣下应聘香港交易所职位或工作的申请，以评估閣下是否为合适人选，并向閣下的前雇主进行相关的背景查证；及
6. 与上列任何一项有直接关联的其他目的。

### 直接营销

如閣下已经给予同意而其后并无撤回，我们也可能使用閣下的姓名、邮寄地址、电话号码和电邮地址，用以寄送宣传资料，就香港交易所以及本集团其他成员公司的金融和资讯服务进行直接营销活动。

如不希望收到我们的宣传和直接营销资料，或不希望收到此类材料，请通过下文「联系我们」所载的其中一种通讯渠道联络我们。为确保可以迅速处理閣下的要求，请提供閣下的姓名、电邮地址、登入名称及所订阅产品及／或服务详情。

### 身份证号码

我们可能会根据适用法律或规例又或任何对我们有管辖权限的监管机构的要求而收集并处理閣下的身份证号码，另外亦可能因为需要识别閣下的身份（在不抵触该《条例》的前提下）收集并处理閣下的身份证号码。

### 转移閣下的个人资料作直接营销

除非閣下已经拒绝，否则我们可能会将閣下的姓名、邮寄地址、电话号码和电邮地址转交本集团其他成员公司，使其可向閣下寄送宣传资料，就其金融和资讯服务进行直接营销活动。

### 其他转移个人资料的情况

1. 转交予本集团其他成员公司，而使本集团（在香港或其他地方）的相关人员获得閣下的个人资料；就此，閣下同意将閣下的个人资料转离香港；
2. 提供予任何向香港交易所及／或本集团在香港或其他地方的其他成员提供行政、电讯、电脑、付款、追收欠款、资料处理或其他服务的代理、承判商或第三方；及

3. 转交予其他人士（收集资料时会通知閣下）。

### 我们如何使用 cookies

閣下通过香港交易所网站查阅我们的资讯或服务时，应当留意到网站有使用 cookies。Cookies 是指储存在閣下浏览器内的资料档。閣下进入香港交易所网站时，网站即在閣下浏览器内自动安装并使用 cookies。香港交易所网站使用两种 cookies。

**Session Cookies：**一种只在閣下浏览香港交易所网站期间留存於浏览器内的短暂性质 cookies，用处在於取得并儲存配置资讯及管理网站，包括「携带」资讯以随閣下浏览网站的不同版面，譬如以免閣下每到一一个版面也要重新输入资讯。**Session cookies**也会用来编制备關於香港交易所网站使用的匿名统计资料。

**Persistent Cookies：**一种留存於浏览器内较长时间的 cookies，用以编制备關於香港交易所网站使用的匿名统计资料，或追踪和记录使用者的习惯偏好。

香港交易所网站所用的 cookies 不包含个人资料。閣下可以更改浏览器或网路安全软件中的设定，拒绝接受浏览器内的 cookies。不过，这样可能会令閣下不能使用或启动香港交易所网站中的某些功能。

### 法律与法规的遵守

香港交易所及本集团其他成员公司或要为了遵守适用法律於法规或其他司法管辖区的法院指令、传票或其他法定程序（无论於香港或其他地方），或遵从政府机关、执法机构或类似机构（无论位於香港或其他地方）提出的要求，又或的执行或履行监管职能，而必须保留、处理及／或披露閣下的个人资料。香港交易所及本集团其他成员公司或必须披露閣下的权利、财产或安全，又或执行或履行监管职能。

### 公司重组

随着我们持续发展业务，我们可能会重组集团架构或出现控制权易手或业务合并。在这些情况下，閣下的个人资料或可能会按这份私隱政策声明或另一份将会通知閣下的私隱政策声明而移交继续运营我们业务或类似服务的第三方。此等第三方或在香港以外的地方，就此等收购或重组而使閣下个人资料的地点也可能不在香港。

### 查阅及更正个人资料

根据该《条例》，閣下有权查明我们是否持有閣下的个人资料、取得资料的备份及更正任何不准确资料，也可以要求我们通知閣下其持有资料的种类。如欲查阅有关资料，须使用个人资料私隱专员（「私隱专员」）指定的表格（可於私隱专员公署的官方网站下载）或经此连接 <https://www.pcpd.org.hk/english/publications/files/Dform.pdf> 提出。

如欲查阅和更正个人资料，或查阅有关政策与常规以及我们所持有资料种类，应以书面及邮递形式提出要求（见以下「联系我们」）。

我们或会因应閣下查阅资料要求而产生的行政及实际成本而收取合理的费用。

### 终止或取消

任何时候如果閣下在我们的账户或与我们的关系被取消或终止，我们会随即在合理情况下尽快终止处理閣下的个人资料，但也可按合理需要而保留有关资料，合理的需要包括：资料归档；解决实际或潜在的争议；遵守适用法律及规例；履行与閣下的任何协议；保障我们及我们雇员的权力、财产或安全；以及执行或履行我们的职能、义务及责任等。

### 一般资料

本私隱政策声明的中英文本如有差异，概以英文版为准。

### 联系我们

郵寄：  
香港 环康乐广场 8 号  
交易广场二期 8 楼  
香港交易及结算有限公司  
个人资料隐私主任

电邮：  
[DataPrivacy@HKEX.COM.HK](mailto:DataPrivacy@HKEX.COM.HK)