

收集個人資料聲明書  
PERSONAL INFORMATION COLLECTION STATEMENT

隨著個人資料（私穩）條例已於 1996 年 12 月 20 日起生效，此解釋說明之擬定是為協助閣下瞭解在提供個人資料予香港交易及結算有限公司、香港期貨交易所有限公司、香港期貨結算有限公司、香港聯合交易所有限公司、香港中央結算有限公司及/或香港聯合交易所期權結算有限公司（統稱「交易及結算公司」）時的權利及責任，及交易及結算公司或作為交易及結算公司控制人的認可控制人又或任何作為交易及結算公司控制人的認可控制人為其控制人的公司將會如何使用或處理該等資料的方式。懇請閣下細讀此解釋說明。

With the coming into force of the Personal Data (Privacy) Ordinance on 20 December 1996, these Notes are prepared to assist you in understanding your rights and obligations in relation to the supply of personal information by you to Hong Kong Exchanges and Clearing Limited, Hong Kong Futures Exchange Limited, HKFE Clearing Corporation Limited, The Stock Exchange of Hong Kong Limited, Hong Kong Securities Clearing Company Limited and/or The SEHK Options Clearing House Limited (collectively as "Exchanges and Clearing Companies") and the manner in which the Exchanges and Clearing Companies, any recognized exchange controller which is the controller of the Exchanges and Clearing Companies or any company of which a recognized exchange controller which is a controller of the Exchanges and Clearing Companies is a controller may use or deal with such information. You are strongly advised to read these Notes carefully.

- 作為交易及結算公司的參與者的董事，閣下需向交易及結算公司提供有關閣下的個人資料。倘若閣下未能提供所需的個人資料將會影響交易及結算公司評估閣下是否能符合有關標準的能力，有關申請將可能被延誤或拒絕。  
As a director of a Participant of the Exchanges and Clearing Companies, it is necessary for you to provide the Exchanges and Clearing Companies with your personal information. Failure to supply the requested personal information may result in delay or in refusal of the Participant's application if it affects the Exchanges and Clearing Companies' ability to assess whether it is able to comply with the applicable criteria.
- 倘若閣下的個人資料有任何變更，閣下亦需即時通知交易及結算公司。  
It is also necessary for you to keep the Exchanges and Clearing Companies informed of any changes in your personal information.
- 交易及結算公司或作為交易及結算公司控制人的認可控制人又或任何作為交易及結算公司控制人的認可控制人為其控制人的公司將使用閣下所提供的個人資料以執行他們的職能，包括因履行他們任何職能而作出的監察、調查、檢查或紀律行動。  
The personal information supplied by you shall be used by the Exchanges and Clearing Companies, any recognized exchange controller which is the controller of the Exchanges and Clearing Companies or any company of which a recognized exchange controller which is a controller of the Exchanges and Clearing Companies is a controller for the purposes of performing their functions, including whatever surveillance, investigation, inspection, or disciplinary action necessary to the discharge of such functions.
- 交易及結算公司或作為交易及結算公司控制人的認可控制人又或任何作為交易及結算公司控制人的認可控制人為其控制人的公司在執行其職能時，在法律許可的情況下，可能將閣下所提供的資料與他們所持有或此後獲得的資料進行核對、比較、轉移或交換。  
In the course of performing their functions, the Exchanges and Clearing Companies, any recognized exchange controller which is the controller of the Exchanges and Clearing Companies or any company of which a recognized exchange controller which is a controller of the Exchanges and Clearing Companies is a controller may, as permitted by law, match, compare, transfer or exchange the information provided by you with information held, or hereafter obtained, for these or any other purposes by them.
- 交易及結算公司將閣下所提供的個人資料予以保密，但可能將該等資料透露予交易及結算公司或作為交易及結算公司控制人的認可控制人又或任何作為交易及結算公司控制人的認可控制人為其控制人的公司的僱員、董事、代理人及顧問，他們具有如交易及結算公司的保密責任。但交易及結算公司或作為交易及結算公司控制人的認可控制人又或任何作為交易及結算公司控制人的認可控制人為其控制人的公司可全權決定透露閣下的個人資料予其他監管機構或交易所。  
Personal information supplied to the Exchanges and Clearing Companies will be kept confidential but may be disclosed to employees, directors, agents and consultants of the Exchanges and Clearing Companies, any recognized exchange controller which is the controller of the Exchanges and Clearing Companies or any company of which a recognized exchange controller which is a controller of the Exchanges and Clearing Companies is a controller who shall be under the same confidentiality duty as the Exchanges and Clearing Companies provided that the Exchanges and Clearing Companies, any recognized exchange controller which is the controller of the Exchanges and Clearing Companies or any company of which a recognized exchange controller which is a controller of the Exchanges and Clearing Companies is a controller may disclose, at their absolute discretion, personal information to other regulatory bodies or exchanges.
- 交易及結算公司將刊登交易所參與者及註冊人士的部份資料或根據交易及結算公司的規則，將公開交易所參與者及註冊人士的部份資料予公眾人士查閱。  
Specified data relating to Exchange Participants and registered persons of the Exchanges and Clearing Companies will be published by the Exchanges and Clearing Companies or kept open for public inspection pursuant to the relevant provisions of the rules of the Exchanges and Clearing Companies.
- 根據個人資料（私穩）條例，閣下可根據該條例的方式及規定，要求查閱或更正閣下所提供的資料。有關要求請與香港交易及結算有限公司現貨交易參與者服務主管聯絡，地址為香港中環康樂廣場八號交易廣場二期六樓。  
You may be entitled under the Personal Data (Privacy) Ordinance to request access to or to request the correction of any information supplied by you, in the manner and subject to the limitations prescribed therein. Any such request shall be directed to the Head of Participant Services, Cash Trading of Hong Kong Exchanges and Clearing Limited at 6/F, Two Exchange Square, 8 Connaught Place, Central, Hong Kong.

本人謹此聲明本人，已閱讀及明白《收集個人資料的解釋說明》。本人同意交易及結算公司或作為交易及結算公司控制人的認可控制人又或任何作為交易及結算公司控制人的認可控制人為其控制人的公司運用本人就證券及期貨條例而提供予證券及期貨事務監察委員會的個人資料及將來可能提供的個人資料以履行他們在解釋說明所述的全部或任何職能，及其他與該等職能有直接關係的職能。

I hereby declare that I have read and understood the Explanatory Notes on Personal Information Collection and consent that the Exchanges and Clearing Companies and any recognized exchange controller which is the controller of the Exchanges and Clearing Companies or any company of which a recognized exchange controller which is a controller of the Exchanges and Clearing Companies is a controller use any personal information I have provided to the Securities and Futures Commission under the Securities and Futures Ordinance, and any personal information I may provide in the future, for the purposes of discharging all or any of their functions and for any purpose directly related to those purposes.

申請人簽署  
Signature of the Applicant \_\_\_\_\_ 日期  
Date \_\_\_\_\_  
申請人姓名  
Name of the Applicant \_\_\_\_\_  
交易所參與者名稱  
Name of Exchange Participant \_\_\_\_\_