

交易所參與者成為TTEP使用「滬港股票市場交易互聯互通機制」及「深港股票市場交易互聯互通機制」準備就緒確認書及其相關承諾書

**Confirmation of Readiness and Related Undertakings for the Use of Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect by an Exchange Participant Intending to Become a Trade-through Exchange Participant**

**注意事項:**

**Notes:**

1. 此交易所參與者成為TTEP使用「滬港股票市場交易互聯互通機制」及「深港股票市場交易互聯互通機制」準備就緒確認書及其相關承諾書（「確認及承諾書」）是根據交易所規則第590(2)條所制定。交易所參與者有意為其客戶透過中華通交易所參與者使用「滬港股票市場交易互聯互通機制」及「深港股票市場交易互聯互通機制」（「滬港通」及「深港通」）進行中華通證券交易，須提供此**確認及承諾書**予聯交所。

This **Confirmation of Readiness and Related Undertakings for the Use of Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect by an Exchange Participant Intending to Become a Trade-through Exchange Participant** (“Confirmation and Undertaking”) is prescribed pursuant to Rule 590(2) of the Rules of the Exchange and should be submitted to SEHK by an Exchange Participant who intends to conduct trading in China Connect Securities through the Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect for the account of its clients through a China Connect Exchange Participant.

2. 除非另有規定，在香港聯合交易所有限公司規則（「交易所規則」）的詞彙，當用於此確認及承諾書時具有相同意義；

In this Confirmation and Undertaking, unless defined below or the context otherwise requires, capitalised terms shall have the same meanings as defined in the Rules of the Exchange:

「附錄」是指載於此確認及承諾書內之附錄一及/或附錄二(如適用)；  
“Appendix” means Appendix I and/or Appendix II (as applicable) to this Confirmation and Undertaking;

「中華通市場營運者」是指載於本確認書及承諾書附錄一及/或附錄二(如適用)內之交易所；

“China Connect Market Operator” means the exchange set out in Appendix I and/or Appendix II (as applicable) to this Confirmation and Undertaking;

「客戶」是指任何持有可透過中華通交易所參與者進行買賣的交易所參與者有效交易賬戶的人士；

“client” means any person who maintains a valid trading account with the Trade-through Exchange Participant;

「市場行情」是指載於本確認書及承諾書附錄一及/或附錄二(如適用)內之市場數據資訊；

“Market Data Information” means the market data information set out in Appendix I and/or Appendix II (as applicable) to this Confirmation and Undertaking;

「資訊」是指聯交所根據使用中華通市場數據的相關標準條款和條件或其他相關標準條款和條件發放或以其他方式提供資訊給予中華通交易所參與者，而中華通交易所參與者將該等資訊發放或以其他方式提供給透過中華通交易所參與者進行買賣的交易所參與者，該等資訊也包括市場行情；

“Information” means the information that is disseminated or otherwise made available to the China Connect Exchange Participant by SEHK under SEHK’s relevant Standard Terms and Conditions For Use Of China Connect Market Data or such other relevant Standard Terms and Conditions and which is disseminated or otherwise made available to the Trade-through Exchange Participant by the China Connect Exchange Participant, including the Market Data Information;

「交易所規則」是指聯交所之規則，而“規則”須據此解釋；  
 “Rules of the Exchange” means the Rules of SEHK, and “Rule” shall be construed accordingly;

「聯交所」是指香港聯合交易所有限公司；  
 “SEHK” means The Stock Exchange of Hong Kong Limited; and

「TTEP」是指根據聯交所規則 590 (1) 條所述之交易所參與者；  
 “Trade-through Exchange Participant” means an Exchange Participant referred to in Rule 590(1).

3. 在填寫本確認及承諾書前，請細閱所有刊載予香港交易所網站，網址：[www.hkex.com.hk/mutualmarket\\_c](http://www.hkex.com.hk/mutualmarket_c) 之文件，包括評估就通過中華通交易所參與者買賣中華通證券的交易所參與者準備狀況之檢查清單及交易所規則。

Please read all the documents posted on the HKEX website at [www.hkex.com.hk/mutualmarket](http://www.hkex.com.hk/mutualmarket), including the Checklist for Assessing Readiness for trading in China Connect Securities through a China Connect Exchange Participant by Exchange Participant, and the Rules of the Exchange carefully before completing this Confirmation and Undertaking.

4. 請將填妥的確認書以郵遞交予香港交易所現貨交易參與者服務，地址為香港中環康樂廣場8號交易廣場2期6樓。

The completed Confirmation and Undertaking should be returned by mail to Participant Services, Cash Trading of HKEX at 6/F, Two Exchange Square, 8 Connaught Place, Central, Hong Kong.

5. 如有查詢，請聯絡香港交易所參與者一般查詢熱線：2840-3626。

For enquiries, please contact HKEX – Participant General Enquiry Hotline at 2840-3626.

## 第一部分 – 交易所參與者資料

### Part I – Exchange Participant Information

|   |                      |                          |  |
|---|----------------------|--------------------------|--|
| 交易所參與者名稱：<br>Name of Exchange Participant : | (中文)<br>(in Chinese) |                          |  |
|   | (英文)<br>(in English) |                          |  |
| 交易所參與者代號：<br>Exchange Participant ID:       |                      |                          |  |
| 聯絡人名稱：<br>Name of Contact Person :          |                      | 職銜：<br>Position :        |  |
| 電話號碼：<br>Telephone Number :                 |                      | 電郵地址：<br>Email Address : |  |

第二部分 – 交易所參與者之確認 (在以下適當的空格內加上√號)

**Part II – Confirmation by Exchange Participant** (please check the appropriate boxes below)

|                          |   |
|--------------------------|---|
| <input type="checkbox"/> | 本公司確認有足夠的能力 (包括前端 / 後勤辦公室系統支援、操作程序、內部流程、控制程序和客戶文件) 處理客戶買賣中華通證券之要求及指示, 及已訂立適當的安排, 以確保本公司能妥善地通過中華通交易所參與者執行客戶的訂單。<br>We confirm that we have adequate capabilities (including support from front / back office systems, operational procedures, internal processes, control procedures and client documentation) to handle clients' requests and instructions in buying and selling China Connect Securities, and have entered into appropriate arrangements to ensure that we can properly execute their orders through a China Connect Exchange Participant. |
| <input type="checkbox"/> | 本公司確認已作出安排、制定程序和政策, 以確保本公司能與中華通交易所參與者按時履行對中華通證券交易, 包括以人民幣款項之交收責任。<br>We confirm that we have arrangements, procedures and policies in place to ensure the timely settlement of transactions on China Connect Securities including the settlement of money obligations in RMB with China Connect Exchange Participant(s).  |
| <input type="checkbox"/> | 本公司確認已與託管人 (如適用) 就處理轉讓中華通證券作出安排和制定程序。<br>We confirm that we have arrangement and procedures in place with our custodians (if applicable) to handle the transfer of China Connect Securities for the settlement of sell transactions.  |

第三部分 – 交易所參與者之確認及聲明

**Part III – Declaration and Undertaking by Exchange Participant**

致: 香港聯合交易所有限公司(「聯交所」)

To: **The Stock Exchange of Hong Kong Limited** (“SEHK”)

本公司,

We,

- 確認**本公司已就使用中華通服務及中華通證券閱讀交易所規則第 590 條及相關章節, 並明白本公司作為 TTEP 之責任;  
**confirm** that we have read Rule 590 and the relevant chapters of the Rules of the Exchange regarding the use of the China Connect Services and China Connect Securities and we **understand** our obligations as a Trade-through Exchange Participant;
- 確認**本公司會遵守並接受所有不時生效之交易所規則, 所有聯交所根據交易所規則不時刊載或指定之程序、要求、規例、條件和指引, 及所有不時生效之適用法規約束, 並**同意**在任何不遵守之情況下接受紀律處分;  
**confirm** that we shall at all times comply with and be bound by the Rules of the Exchange as in force from time to time and all procedures, requirements, regulations, conditions and guidance published or prescribed by SEHK from time to time pursuant to the Rules of the Exchange and all applicable laws as in force from time to time; and **agree** that any non-compliance shall render us liable to disciplinary proceedings;
- 同意**並**授權**聯交所及/或香港交易所透過香港交易所網站或其他途徑向公眾披露本公司準備就緒透過中華通交易所參與者使用「滬港通」及「深港通」為本公司客戶進行中華通證券交易;  
**agree and authorise** SEHK and/or HKEX to publish our name on the HKEX website or via other channels to inform the public of our readiness to conduct trading in China Connect Securities through the use of Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect for the account of our clients through a China Connect Exchange Participant;
- 聲明**在此確認書的確認全屬完整、真實及正確。同時, 本公司並沒有因任何陳述或遺漏而

導致該等確認有任何不真確或誤導的成份；

**declare** that the confirmation provided herein is complete, true and correct and that we have not made or omitted to make any statements or omissions which would render such confirmation untrue or misleading;

5. **確認本公司明白**聯交所會對在有關使用「滬港通」及「深港通」之確認書上作出虛假或錯誤引導聲明（包括確認本公司內部系統和運作準備就緒）的交易所參與者採取紀律處分；  
**confirm our understanding** that SEHK may take disciplinary proceedings against an Exchange Participant which has made a false or misleading representation in relation to its confirmation of readiness for the use of Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect, including the confirmation made herein in regard to our system and operational readiness;
6. **同意**聯交所及作為聯交所控制人的認可控制人又或任何作為聯交所控制人的認可控制人為其控制人的公司，可將本公司的有關資料，透露予證監會、其他交易所、監管機構或政府機構（不論於香港境內或境外）；  
**consent** that SEHK, any recognized exchange controller which is the controller of SEHK or any company of which a recognized exchange controller which is controller of SEHK is a controller may disclose information relating to us to the Commission, any exchange, regulatory, judicial or governmental authority (whether within or outside Hong Kong);
7. 當中華通交易所參與者是基於聯交所於使用中華通市場數據的相關標準條款和條件或其他相關標準條款和條件准許下發放或以其他方式提供市場行情予本公司時，本公司**同意及承諾**：  
where a China Connect Exchange Participant disseminates or makes available any Market Data Information to us, in consideration of SEHK allowing the China Connect Exchange Participant to do so under the relevant Standard Terms and Conditions For Use Of China Connect Market Data or such other relevant Standard Terms and Conditions, we **agree and undertake** that:
  - (i) 本公司不會向本公司客戶之外的任何個人或任何機構發放或提供市場行情；  
we shall not disseminate the Market Data Information to any person or any entity other than to our clients;
  - (ii) 本公司不會利用或容許使用市場行情作任何非法用途；  
we shall not use or permit the use of the Market Data Information for any illegal purpose;
  - (iii) 本公司不會將市場行情用於開發指數或其他可交易產品；  
we shall not use the Market Data Information for index computation and compilation and for deriving any tradable products;
  - (iv) 符合上述 7.(iii) 條，本公司只會於其日常業務運作中使用市場行情（其中不包括發放市場行情給任何個人或第三方，無論是否以獲利為目的），或讓本公司的軟件系統供應商使用市場行情作為開發、連接或應用相關的軟件，以為本公司及本公司客戶提供市場行情的解析和應用的軟件服務；  
subject to 7.(iii) above, we shall only use the Market Data Information for our own purposes, in the ordinary course of our own business (which shall not include the dissemination of Market Data Information to any persons or third parties, whether on a for-profit basis or otherwise), or for the purpose of enabling our software system suppliers to develop, connect or apply relevant software solutions to facilitate our and our client's use of the Market Data Information;
  - (v) 本公司會要求本公司的每一位客戶同意或承諾如下：  
we shall require each of our clients to agree or undertake as follows:
    - (a) 客戶應為市場行情的最終使用者及不可將市場行情向任何其他個人或機構轉發，無論是免費或以其他方式；  
the client shall only use the Market Data Information as an end-user and shall not disseminate the Market Data Information to any person or grant any person any

access to the Market Data Information, whether free of charge or otherwise;

- (b) 客戶不可使用或容許使用市場行情作非法用途；  
the client shall not use or permit the use of the Market Data Information for any illegal purpose;
- (c) 客戶不會將市場行情用於開發指數及其他可交易產品；  
the client shall not use the Market Data Information for index computation and compilation and for deriving any tradable products;
- (d) 符合上述 7. (v)(c) 條，客戶只會於其日常業務運作中使用市場行情 (其中不包括發放市場行情給任何個人或第三方，無論是否以獲利為目的)，或讓客戶的軟件系統供應商使用市場行情作為開發、連接或應用相關的軟件，以為客戶提供市場行情的解析和應用的軟件服務；  
subject to 7.(v)(c) above, the client shall only use the Market Data Information for its own purposes, in the ordinary course of its own business (which shall not include the dissemination of Market Data Information to any persons or third parties, whether on a for-profit basis or otherwise), or for the purpose of enabling its software system suppliers to develop, connect or apply relevant software solutions to facilitate its use of the Market Data Information;
- (vi) 本公司確認向客戶提醒及展示附件訂明的免責聲明；  
we shall display a disclaimer in the form set out in the Appendix for the attention of our clients;
- (vii) 本公司將監察客戶對市場行情的使用 (包括本公司客戶或本公司客戶的軟件系統供應商市場行情的使用)；若本公司發現有任何以上 7.(v)(a) 至 (d) 的違規事項，會立即通知聯交所；  
we shall monitor the use of the Market Data Information by our clients (including any use of the Market Data Information by our clients or our clients' software system suppliers) and shall report any breach of 7.(v)(a) to (d) that we are aware of to SEHK promptly;
- (viii) 本公司將遵照聯交所對本公司或中華通交易所參與者不時推行及/或發出的任何關於資訊發放或使用的要求、限制、方向及指引；  
we shall comply with any requirements, restrictions, directions and guidelines as SEHK may impose and/or issue to us or to the China Connect Exchange Participant from time to time concerning the dissemination or the use of the Information;
- (ix) 本公司如使用或欲使用任何在以上 7.(i) 至 (iv) 所述情況以外之市場行情，須取得 (載於附錄內) 之中華通市場營運者或其代理人的同意或授權；  
we shall obtain consent or authorization from the China Connect Market Operator or the designated agent(s) of the China Connect Market Operator (as set out in the Appendix) if we use or wish to use any Market Data Information outside the scope of 7.(i) to (iv) above;
- (x) 聯交所有權對本公司任何未獲授權使用或發放有關資訊或違反承諾的情況下召開紀律處分；  
SEHK has the power to commence disciplinary proceedings against us under the Rules with respect to any unauthorized use or dissemination of the Information or any breach of these undertakings;
- (xi) 本公司同意下述項目的所有專利及知識產權：  
we **acknowledge** that all the proprietary rights and intellectual property rights in respect of:
  - (a) 市場行情乃屬於中華通市場營運者；  
the Market Data Information are vested in the China Connect Market Operator; and

(b) 非市場行情的資訊乃屬於聯交所或共同屬於聯交所及中華通市場營運者（視乎情況而定）；  
the Information other than the Market Data Information are vested in SEHK or SEHK and the China Connect Market Operator jointly, as the case may be; and

同意不以任何方式直接或間接侵犯或影響有關權利；及  
agree not to infringe or affect such rights in any way, whether directly or indirectly; and

- (xii) 本公司進一步同意香港交易所資訊服務有限公司，已獲授權代表聯交所處理在承諾書內提述關於發放及使用資訊的事項。  
we further **acknowledge** that HKEX Information Services Limited is authorized to act for SEHK to deal with matters in relation to the dissemination and use of the Information as described in these undertakings.

在下方簽署後，即代表本公司同意按此表格所述的私隱政策聲明處理個人資料。  
**By signing below, we consent to the processing of personal data in accordance with the Privacy Policy Statement included in this form.**

交易所參與者簽署<sup>1</sup>  
連同公司印章

Signature of Exchange

Participant with

Company Chop

: \_\_\_\_\_

日期

Date

: \_\_\_\_\_

簽署人姓名

Name of Signatory

: \_\_\_\_\_

職銜

Position

負責人員

: Responsible Officer

<sup>1</sup> 必須由交易所參與者之負責人員簽署。

The signatory shall be a Responsible Officer of the Exchange Participant.

## APPENDIX I

### China Connect Market Operator

Shanghai Stock Exchange

### Designated agent of the China Connect Market Operator

China Investment Information Services Limited

### Market Data Information

| Message Type*      | Field Description*    | General Description of Information in respect of China Connect Securities <sup>#</sup> |
|--------------------|-----------------------|--|
| 611, 621, 655, 660 | SecurityCode          | Stock Code (股票代碼)  |
| 660                | LastPrice             | Latest Price (最新成交價)   |
| 660                | OpeningPrice          | Opening Price (今日開盤價)  |
| 655                | BidPrice              | Current Bid Price (當前買入價)  |
| 655                | AggregateBidQuantity  | Number of Shares at Current Bid (當前買入量)  |
| 655                | AskPrice              | Current Ask Price (當前賣出價)  |
| 655                | AggregateAskQuantity  | Number of Shares at Current Ask (當前賣出量)  |
| 660                | SharesTraded          | Shares Traded (成交數量)   |
| 660                | Turnover              | Turnover (成交金額)  |
| 660                | HighPrice             | High Price (最高價)   |
| 660                | LowPrice              | Low Price (最低價)  |
| 611                | PreviousClosingPrice  | Previous Closing Price (昨日收盤價)   |
| 621                | SecurityTradingStatus | Suspend Flag (停牌標示)  |

*\*Message Type (MsgType) and Field Description as per HKEX Orion Market Data Platform China Connect (Securities) (OMD-CC) interface specification for OMD-CC subscribers*

*<sup>#</sup> China Connect Securities (as defined in Chapter 1 and Chapter 14A of the Rules)*

## Disclaimer

“SHANGHAI STOCK EXCHANGE ENDEAVOURS TO ENSURE THE ACCURACY AND RELIABILITY OF THE INFORMATION PROVIDED BUT DOES NOT GUARANTEE ITS ACCURACY OR RELIABILITY AND ACCEPT NO LIABILITY (WHETHER IN TORT OR CONTRACT OR OTHERWISE) FOR ANY LOSS OR DAMAGE ARISING FROM ANY INACCURACIES OR OMISSIONS”

「上海證券交易所盡力保證所提供資訊的準確和可靠度，但不能確保其絕對準確和可靠，亦不對因資訊不準確或遺漏而導致的任何損失或損害承擔責任。」

「上海证券交易所尽力保证所提供信息的准确和可靠度，但不能确保其绝对准确和可靠，亦不对因信息不准确或遗漏而导致的任何损失或损害承担责任。」

AND

“THE STOCK EXCHANGE OF HONG KONG LIMITED, ITS HOLDING COMPANY AND/OR ANY SUBSIDIARIES OF SUCH HOLDING COMPANY ENDEAVOUR TO ENSURE THE ACCURACY AND RELIABILITY OF THE INFORMATION PROVIDED BUT DO NOT GUARANTEE ITS ACCURACY OR RELIABILITY AND ACCEPT NO LIABILITY (WHETHER IN TORT OR CONTRACT OR OTHERWISE) FOR ANY LOSS OR DAMAGE ARISING FROM ANY INACCURACIES OR OMISSIONS”

「香港聯合交易所有限公司、其控股公司及／或該等控股公司的任何附屬公司均盡力保證所提供資訊的準確和可靠度，但不能確保其絕對準確和可靠，亦不對因資訊不準確或遺漏而導致的任何損失或損害承擔責任。」

「香港联合交易所有限公司、其控股公司及／或该等控股公司的任何附属公司均尽力保证所提供信息的准确和可靠度，但不能确保其绝对准确和可靠，亦不对因信息不准确或遗漏而导致的任何损失或损害承担责任。」



## APPENDIX II

### China Connect Market Operator

Shenzhen Stock Exchange

### Designated agent of the China Connect Market Operator

Shenzhen Securities Information Co. Limited

### Market Data Information

| Message Type*      | Field Description*    | General Description of Information in respect of China Connect Securities <sup>#</sup> |
|--------------------|-----------------------|--|
| 611, 621, 655, 660 | SecurityCode          | Stock Code (股票代碼)  |
| 660                | LastPrice             | Latest Price (最新成交價)   |
| 660                | OpeningPrice          | Opening Price (今日開盤價)  |
| 655                | BidPrice              | Current Bid Price (當前買入價)  |
| 655                | AggregateBidQuantity  | Number of Shares at Current Bid (當前買入量)  |
| 655                | AskPrice              | Current Ask Price (當前賣出價)  |
| 655                | AggregateAskQuantity  | Number of Shares at Current Ask (當前賣出量)  |
| 660                | SharesTraded          | Shares Traded (成交數量)   |
| 660                | Turnover              | Turnover (成交金額)  |
| 660                | HighPrice             | High Price (最高價)   |
| 660                | LowPrice              | Low Price (最低價)  |
| 611                | PreviousClosingPrice  | Previous Closing Price (昨日收盤價)   |
| 621                | SecurityTradingStatus | Suspend Flag (停牌標示)  |

\*Message Type (MsgType) and Field Description as per HKEX Orion Market Data Platform China Connect (Securities) (OMD-CC) interface specification for OMD-CC subscribers

<sup>#</sup> China Connect Securities (as defined in Chapter 1 and Chapter 14B of the Rules)

## Disclaimer

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「深圳證券交易所盡力保證所提供資訊的準確和可靠度，但不能確保其絕對準確和可靠，亦不對因資訊不準確或遺漏而導致的任何損失或損害承擔責任。」

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AND

“THE STOCK EXCHANGE OF HONG KONG LIMITED, ITS HOLDING COMPANY AND/OR ANY SUBSIDIARIES OF SUCH HOLDING COMPANY ENDEAVOUR TO ENSURE THE ACCURACY AND RELIABILITY OF THE INFORMATION PROVIDED BUT DO NOT GUARANTEE ITS ACCURACY OR RELIABILITY AND ACCEPT NO LIABILITY (WHETHER IN TORT OR CONTRACT OR OTHERWISE) FOR ANY LOSS OR DAMAGE ARISING FROM ANY INACCURACIES OR OMISSIONS”

「香港聯合交易所有限公司、其控股公司及／或該等控股公司的任何附屬公司均盡力保證所提供資訊的準確和可靠度，但不能確保其絕對準確和可靠，亦不對因資訊不準確或遺漏而導致的任何損失或損害承擔責任。」

「香港联合交易所有限公司、其控股公司及／或该等控股公司的任何附属公司均尽力保证所提供信息的准确和可靠度，但不能确保其绝对准确和可靠，亦不对因信息不准确或遗漏而导致的任何损失或损害承担责任。」

## 私隱政策聲明

香港交易及結算所有限公司及其不時的附屬公司（統稱「**本集團**」）（在本私隱政策聲明中，各自稱為「**香港交易所**」、「**我們**」或「**本集團成員公司**」，視適用情況而定）明白根據香港法例第 486 章《個人資料（私隱）條例》（該「**條例**」）其在收集、持有、處理、使用及／或轉移個人資料方面的責任。個人資料的收集只限作合法且相關的用途，並會採取一切實際可行方法去確保我們持有的個人資料準確無誤。我們將根據本私隱政策聲明使用我們不時所收集閣下的個人資料。

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入具體指示、政策及條款。本私隱政策聲明如有任何重要修訂，我們會通過閣下提供給我們的聯絡方式通知閣下，也會按該《條例》的規定，讓閣下可以透過屆時通知閣下的途徑選擇拒絕接收此類修訂通知。否則，關於通過香港交易所網站或其他方式而提供給我們的個人資料，閣下繼續使用香港交易所網站或繼續維持與我們的關係即被視為同意並接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问，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。

我們會採取一切實際可行方法確保個人資料的安全，以及避免個人資料在未經授權或意外的情況下被取用、刪除或作其他用途。這包括在實物具體上、技術上及程序上的適當安全措施，確保只有經授權人士才能取用個人資料。

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

我們或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用人選，並向閣下的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其後並無撤回，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，又或不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。為確保可以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限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要為了遵守適用法律及規例，或遵守法院指令、傳票或其他法定程序（無論於香港或其他地方），或遵從政府機關、執法機構或類似機構（無論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/Dforme.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**」）。

我們或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)

## 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)