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IP-Form 23

Corporate Investor Participant Self-Certification Form 公司投資者戶口持有人自我證明表格

To: Hong Kong Securities Clearing Company Limited ("HKSCC") and Hong Kong Exchanges and Clearing Limited ("HKEX")
致：香港中央結算有限公司《結算公司》及香港交易及結算所有限公司《香港交易所》

Customer Service Centre

6/F, China Merchants Plaza, 153 Connaught Road Central and 303 Des Voeux Road Central, Hong Kong
香港干諾道中153號及德輔道中303號招商局廣場6樓
客戶服務中心
(Enquiry Tel. No. 查詢電話號碼 2979-7000)

From: _____
English Full Name of Corporate Investor Participant
公司投資者戶口持有人英文名稱
Participant ID: |_|_|_|_|_|_|_|
參與者編號
Current Business Address:
現時營業地址

_____

_____
(Address, city/town and country)
(地址，城市與國家)

Part 1: Corporate Investor Participant's Information on Automatic Exchange of Financial Account Information ("AEOI")

第一部:自動交換財務帳戶資料《AEOI》公司投資者戶口持有人資料

a) The Corporate Investor Participant certifies that it has the AEOI Entity Type indicated below. Please select one of the boxes below and, as applicable, provide any additional information requested for the selected box.
公司投資者戶口持有人聲明及保證其屬於以下列出的 AEOI 類別。請選擇以下其中一方格並且，如適用，為所選方格提供額外要求的資料。

Financial Institution 財務機構	☐ Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司 ☐ Investment Entity (except an Investment Entity that is (i) managed by another financial institution, e.g. with discretion to manage the entity's assets, and (ii) located in a non-participating jurisdiction) 投資實體(但不包括投資實體(i)由另一財務機構管理，例如擁有酌情權管理投資實體的資產，並(ii)位於非參與稅務管轄區)
Active Non-Financial Entity ("Active NFE") 主動非財務實體	☐ Non-Financial Entity ("NFE") the stock of which is regularly traded on _____, which is an established securities market 該非財務實體的股票經常在_____(一個具規模證券市場)進行買賣 ☐ Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market _____的有關連實體, 該有關連實體的股票經常在_____(一個具規模證券市場)進行買賣 ☐ NFE which is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 該非財務實體為政府實體、國際組織、中央銀行或由前述的實體全權擁有 ☐ Active NFE other than the above. Please further select the one applicable description: 除上述以外的主動非財務實體。請再選擇以下一項合適的描述： [ ] NFE with less than 50% of gross income and of assets as passive 被動總收入和被動資產少於百分之五十的非財務實體 [ ] NFE that is a holding company for a non-financial group 非財務實體為一間非財務集團的控股公司 [ ] NFE that is a treasury center engaged in financing/hedging with affiliates 非財務實體為一間與關聯公司進行融資/對沖交易的財務管理中心 [ ] NFE that is within its first 24 months, and is a start-up intending to operate a non-Financial Institution business 在實體成立的最初二十四個月內，為一間將會進行非財務機構商業活動的新創業實體及非財務實體 [ ] NFE that is liquidating or reorganising, and not involved in/planning a Financial Institution business 清算或重組中並且沒有進行及不準備進行財務機構商業活動的非財務實體 [ ] NFE that is a not-for-profit organisation exempt from local income tax which meets other requirements 非財務實體為一間在當地免所得稅並滿足其他要求的非盈利實體 [ ] Other Active NFE (Please specify: _____) 其他主動非財務實體(請說明：_____)
Passive Non-Financial Entity ("Passive NFE") 被動非財務實體	☐ Investment Entity that is (i) managed by another financial institution and (ii) located in a non-participating jurisdiction. Please specify the jurisdiction: _____ (If this box is selected, please complete Part 2) 投資實體(i)由另一財務機構管理並(ii)位於非參與稅務管轄區。 請指明司法管轄區: _____(如選擇此方格，請填寫第二部) ☐ NFE that is not an Active NFE (If this box is selected, please complete Part 2) 不屬主動非財務實體的非財務實體(如選擇此方格，請填寫第二部)

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b) The Corporate Investor Participant certifies that it is a resident for tax purposes in the jurisdiction(s) as indicated in the table below and it hereby provides its Taxpayer Identification Number or the functional equivalent thereof ("TIN") for each jurisdiction indicated.
公司投資者戶口持有人聲明及保證其為下方列表列出居留司法管轄區之稅務居民並特此提供所列每個居留司法管轄區的稅務編號或具有等同功能的識辨編號("稅務編號")。

Notes to completing the table below:
填寫下方列表時注意:

- *Please indicate **all** jurisdictions of residence for tax purposes (including the Hong Kong Special Administration Region of the People's Republic of China ("Hong Kong") where applicable). If space provided below is insufficient, continue on additional sheet(s). If the Corporate Investor Participant is not a resident for tax purposes in any jurisdiction (e.g. it is fiscally transparent), please indicate the jurisdiction in which the Corporate Investor Participant's place of effective management is situated.*
  *請提供**所有**作為稅務居民的居留司法管轄區(包括中華人民共和國香港特別行政區("香港")如適用)。如下方空位不夠應用,可另紙填寫。如公司投資者戶口持有人並非任何居留司法管轄區的稅務居民(例如:它是財政透明實體),請填寫實際管理機構所在的司法管轄區。*
- *If the Corporate Investor Participant is a resident of Hong Kong for tax purposes, the TIN for Hong Kong is the Hong Kong Business Registration Number.*
  如公司投資者戶口持有人為香港的稅務居民,稅務編號是其香港商業登記號碼。
- *Please note that Hong Kong, the Macau Special Administrative Region of the People's Republic of China, the People's Republic of China and Taiwan are separate jurisdictions for the purposes of this Self-Certification Form.*
  請注意香港、中華人民共和國澳門特別行政區、中華人民共和國和台灣在此表格被視為不同的居留司法管轄區。
- *If you have any questions about your jurisdiction(s) of residence for tax purposes, or how to complete the table below or other parts of this Self-Certification Form, please contact your tax advisor.*
  如閣下有關於貴作為稅務居民的居留司法管轄區,或如何填寫下方列表的疑問,請向貴稅務顧問諮詢。
- *If a TIN is not provided, please select one of the reasons below:*
  Reason A – The jurisdiction does not issue TINs to its residents.
  Reason B – The Corporate Investor Participant is unable to obtain a TIN. Please provide explanation in the table below.
  Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction do not require the TIN to be disclosed.
  如沒有提供稅務編號,請選擇以下一個理由:
  理由 A – 此居留司法管轄區並沒有向其居民發出稅務編號。
  理由 B – 公司投資者戶口持有人不能取得稅務編號。請在下方列表提供解釋。
  理由 C – 毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Jurisdiction(s) of Residence for Tax Purposes of Corporate Investor Participant 公司投資者戶口持有人作為稅務居民的居留司法管轄區	**TIN of Corporate Investor Participant 公司投資者戶口持有人的稅務編號**	**Enter Reason A, B, or C if no TIN is provided 如沒有提供稅務編號,填寫理由 A、B 或 C**	**Explanation if Reason B is selected 如選取理由 B,解釋原因**
(1)			
(2)			
(3)			
(4)			
(5)			

Part 2: Identification of Controlling Person(s) (Complete this part if the Corporate Investor Participant is a Passive NFE)

第二部:識別公司投資者戶口持有人的控權人(填寫此部如公司投資者戶口持有人為被動非財務實體)

The Corporate Investor Participant certifies that the names (last name in capital letters, then first name; both in English) of all of its controlling person(s) are indicated in the table below.
公司投資者戶口持有人聲明及保證其所有控權人的姓名(大楷英文姓氏在前,英文名字在後)已在此下方列表列出。

Notes to completing the table below and Part 3 of this Self-Certification Form:
填寫下方列表和此表格第三部時注意:

- *If no natural person exercises control over the Corporate Investor Participant and the Corporate Investor Participant is a legal person, the controlling person will be the individual holding the position of senior managing official.*
  就公司投資者戶口持有人,如沒有自然人行使控制權並且公司投資者戶口持有人為法人,控權人會是高級管理人員。
- *For each controlling person in the table below, please complete Part 3 of this Self-Certification Form. If there is more than one controlling person, please continue on additional copies of the next page of this Self-Certification Form and submit them together with this Self-Certification Form.*
  請為下方列表的每位控權人填寫此表格第三部。如多於一位控權人,請另外填寫下頁的副本並和此表格一起提交。

(1)	**(5)**
(2)	**(6)**
(3)	**(7)**
(4)	**(8)**

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Part 3: AEOI Information Provided by Corporate Investor Participant on Each Controlling Person (Complete this part if the Corporate Investor Participant is a Passive NFE)

第三部:公司投資者戶口持有人提供的每位控權人 AEOI 資料(填寫此部如公司投資者戶口持有人為被動非財務實體)

Name of Controlling Person: _____
控權人姓名 (Last name in capital letters, then first name; both in English)
(大楷英文姓氏在前，英文名字在後)

Date of Birth (DD-MM-YYYY): _____
出生日期(日日-月月-年年年年)

Current Residence Address of Controlling Person:
控權人現時住址

_____

_____
(Address, city/town and country) (地址，城市與國家)

a) The Corporate Investor Participant certifies that the table below indicates all of the jurisdiction(s) of residence for tax purposes (including Hong Kong where applicable) of the controlling person and the controlling person's TIN for each jurisdiction indicated.
公司投資者戶口持有人聲明及保證下方列表列出控權人所有作為稅務居民的居留司法管轄區(包括香港如適用)及所列每個居留司法管轄區發給控權人的稅務編號。

Notes to completing the table below:
填寫下方列表時注意:

- *If the controlling person is a resident of Hong Kong for tax purposes, the TIN for Hong Kong is the Hong Kong Identity Card Number (including the digit in brackets but without the brackets themselves).*
  如控權人為香港的稅務居民，稅務編號是其香港身份證號碼(包括括號裡的數字但不包括括號)。
- *If a TIN of the controlling person is not provided, please select one of the reasons below:*
  Reason A – The jurisdiction does not issue TINs to its residents.
  Reason B – The controlling person is unable to obtain a TIN. Please provide explanation in the table below.
  Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction do not require the TIN to be disclosed.

如沒有提供控權人的稅務編號，請選擇以下一個理由:
理由 A – 此居留司法管轄區並沒有向其居民發出稅務編號。
理由 B – 控權人不能取得稅務編號。請在下方列表提供解釋。
理由 C – 毋須提供稅務編號。居留司法管轄區的主管機關不需要稅務編號持有人披露稅務編號。

Jurisdiction(s) of Residence for Tax Purposes of Controlling Person 控權人作為稅務居民的居留司法管轄區	TIN of Controlling Person 控權人的稅務編號	Enter Reason A, B, or C if no TIN is provided 如沒有提供稅務編號，填寫理由 A、B 或 C	Explanation if Reason B is selected 如選取理由 B，解釋原因
(1)			
(2)			
(3)			
(4)			
(5)			

b) The Corporate Investor Participant certifies that the controlling person is the Type of Controlling Person indicated in the table below (select only one box). 公司投資者戶口持有人聲明及保證控權人屬於以下選擇的控權人類別(請只選擇以下其中一方格)。

Type of Entity 實體類別	Type of Controlling Person 控權人類別
Legal Person 法人	☐ Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 擁有控制股權的個人(即擁有不少於百分之二十五的已發行股本)
	☐ Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途徑行使控制權或有權行使控制權的個人(即擁有不少於百分之二十五的表決權)
	☐ Individual who holds the position of senior managing official/exercises ultimate control over the management of the entity 擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人
Trust 信託	☐ Settlor 財產授予人
	☐ Trustee 受託人
	☐ Protector 保護人
	☐ Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員
	☐ Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他(例如:如財產授予人/受託人/保護人/受益人為另一實體, 對該實體行使控制權的個人)
Legal Arrangement other than Trust 除信託以外的法律安排	☐ Individual in a position equivalent/similar to settlor 處於相等/相類於財產授予人位置的個人
	☐ Individual in a position equivalent/similar to trustee 處於相等/相類於受託人位置的個人
	☐ Individual in a position equivalent/similar to protector 處於相等/相類於保護人位置的個人
	☐ Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 處於相等/相類於受益人或某類別受益人的成員位置的個人
	☐ Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/ beneficiary) 其他(例如:如處於相等/相類於財產授予人/受託人/保護人/受益人位置的人為另一實體, 對該實體行使控制權的個人)

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Part 4: Signature, Declarations And Consent For Disclosure
第四部: 簽署，聲明及同意披露

The Corporate Investor Participant acknowledges and agrees that the information on this Self-Certification Form is collected and may be kept by HKSCC and HKEX for the purposes of AEOI, including Section 50B(3) of the Inland Revenue Ordinance (Cap. 112 of the Laws of Hong Kong), and such information (including the personal data in connection with the controlling person(s) of the Corporate Investor Participant provided herein (collectively the "Personal Information")) may be reported by HKSCC or HKEX to the Hong Kong Inland Revenue Department (the "IRD") for transfer to the governmental, regulatory or competent authority or taxing authority of one or more jurisdiction(s) (the "Relevant Authorities") in which the Corporate Investor Participant (and/or any controlling person) is a resident for tax purposes. Any references to controlling person(s) in this Part 4 of this Self-Certification Form shall include any person(s) listed in Part 2 of this Self-Certification Form. Any additional cop(ies) of Part 3 of this Self-Certification Form that may be submitted by the Corporate Investor Participant to HKSCC and HKEX shall be treated for purposes of this Part 4 as an integral part of this Self-Certification Form.
公司投資者戶口持有人知悉及同意，本表格所載資料由結算公司和香港交易所收集並可備存作 AEOI(包括香港法例第 112 章《稅務條例》第 50B(3)條)用途,及可被結算公司或香港交易所把該等資料(包括本表格所提供相關公司投資者戶口持有人的任何控權人的個人資料（統稱"個人資料"））向香港稅務局("稅務局")申報，從而把資料轉交到公司投資者戶口持有人(和/或任何控權人)作為稅務居民的一個或多個居留司法管轄區的政府、監管或主管當局或稅務機關("相關當局")。每當在本表格的第四部提及控權人，會包括在本表格第二部所列出的人士。當施行此第四部時，任何公司投資者戶口持有人提交予結算公司和香港交易所的本表格第三部副本，會被視為本表格整體的一部分。

The Corporate Investor Participant hereby expressly gives its consent to the disclosure, use and making available by HKSCC and HKEX of information (including the Personal Information) on this Self-Certification Form as well as information relating to or derived from the Corporate Investor Participant's account maintained with HKSCC in its capacity as an Investor Participant, to the IRD and/or the Relevant Authorities from time to time for the purposes of, or in connection with, AEOI and/or any other matters included in the "Tax Information Exchange Framework" as defined in the Terms and Conditions for Investor Participants, General Rules of CCASS and the CCASS Operational Procedures.
公司投資者戶口持有人明確表示同意結算公司及香港交易所因或有關 AEOI 和/或投資者戶口持有人規則、中央結算系統一般規則和中央結算系統運作程序規則定義下的《稅務資料交換框架》內的其它課題不時向稅務局和/或相關當局披露，使用和提供本表格所載資料(包括個人資料)和/或與公司投資者戶口持有人以投資者戶口持有人身份持有的戶口有關或從中所獲得的資料。

The Corporate Investor Participant further certifies that it has notified and has obtained the consent from the controlling person(s) with respect to the disclosure, use and making available by HKSCC and HKEX of the Personal Information to the IRD and/or the Relevant Authorities from time to time for the purposes of, or in connection with, AEOI and/or any other matters included in the Tax Information Exchange Framework.
公司投資者戶口持有人亦聲明及保證公司投資者戶口持有人已通知每一個控權人及已獲得每一個控權人的同意，有關 AEOI 和/或投資者戶口持有人規則、中央結算系統一般規則和中央結算系統運作程序規則定義下的稅務資料交換框架，結算公司及香港交易所可將個人資料不時披露、使用和向稅務局和/或相關當局提供。

The Corporate Investor Participant understands, and has notified and obtained the consent from the controlling person(s), that the Personal Information will continue to be made available to the IRD and/or the Relevant Authorities until such time as HKSCC or HKEX has received the Corporate Investor Participant's written notification of revocation of the Corporate Investor Participant's consent. The Corporate Investor Participant further understands, and has notified and obtained the consent from the controlling person(s), that following withdrawal of the Corporate Investor Participant's consent any Personal Information that has already been disclosed prior to such withdrawal will remain accessible to the IRD and/or the Relevant Authorities to which it was previously disclosed for the purposes of, or in connection with, AEOI and/or any other Tax Information Exchange Framework matters.
公司投資者戶口持有人明白和已通知每一個控權人及已獲得每一個控權人的同意，個人資料將可能被提供予稅務局和/或相關當局、直至公司投資者戶口持有人以書面形式通知結算公司或香港交易所撤銷有關同意。公司投資者戶口持有人亦明白和已通知每一個控權人及已獲得每一個控權人的同意，在撤銷有關同意前已因或有關 AEOI 和/或稅務資料交換框架內的其它課題而披露的個人資料將仍可讓稅務局和/或相關當局繼續查閱。

The Corporate Investor Participant certifies that it is the account holder (within the meaning of AEOI) of the account(s) to which this Self-Certification Form relates.
公司投資者戶口持有人聲明及保證，就與本表格所載所有相關的帳戶，公司投資者戶口持有人是按 AEOI 定義下的帳戶持有人。

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The Corporate Investor Participant agrees that it will advise HKSCC and HKEX of any change in circumstances which (i) affects the Corporate Investor Participant's jurisdiction(s) of residence for tax purposes or its AEOI entity type (and/or, where relevant to this Self-Certification Form, the identity of its controlling person(s) and/or the jurisdiction(s) of residence for tax purposes of any such controlling person(s)), or (ii) otherwise causes the information contained on this Self-Certification Form to become incorrect or incomplete. The Corporate Investor Participant agrees that it will submit a new Self-Certification Form to HKSCC and HKEX within 30 days of such change in circumstances.
公司投資者戶口持有人承諾，如情況有所改變，以致影響本表格的(i)公司投資者戶口持有人作為稅務居民的居留司法管轄區或其 AEOI 類別(和/或與本表格所載有關的控權人的身份和/或任何該控權人作為稅務居民的居留司法管轄區)，或(ii)引致本表格所載的資料不正確或不完備，公司投資者戶口持有人會通知結算公司和香港交易所，並會在情況發生改變後 30 日內，向結算公司和香港交易所提交一份已適當更新的自我證明表格。

The Corporate Investor Participant declares that the information given and statements in this Self-Certification Form are, to the best of the Corporate Investor Participant's knowledge and belief, true, correct and complete.
公司投資者戶口持有人在此聲明已閱讀明白此自我證明表格內所有之內容。同時聲明盡公司投資者戶口持有人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signed by the Corporate Investor Participant :
公司投資者戶口持有人簽署：

Signature of individual authorised to sign for Corporate Investor Participant (with company chop, ONLY applicable if it forms part of your signing instruction)
公司投資者戶口持有人授權人簽名(連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分)

Print name of authorised signatory
授權人姓名

Date (DD-MM-YYYY)
日期(日日-月月-年年年年)

Note it is an offence under section 80(2E) of the Inland Revenue Ordinance (Cap. 112 of the Law of Hong Kong) if any person, in making a self-certification relating to AEOI, makes a statement that is misleading, false or incorrect in a material particular and knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e., $10,000).
警告:根據香港法例第 112 章《稅務條例》第 80(2E)條，如任何人在自我證明表格作出關於 AEOI 自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級(即$10,000)罰款。

This Self-Certification Form is written in English with a translation in Chinese. In case of any inconsistency, the English version shall prevail.
此自我證明表格的中英文本內容如有歧異，當以英文本為準。

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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

私隱政策聲明

香港交易及結算所有限公司以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。我們將會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、承判商或第三方;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

本私隱政策聲明的中英文本如有差異,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2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