

HONG KONG SECURITIES CLEARING COMPANY LIMITED

香港中央結算有限公司

E-CERTIFICATE / INTERNET USER ID MAINTENANCE FORM FOR INVESTOR PARTICIPANT

投資者戶口持有人更改電子證書 / 互聯網使用者編號表格

To: Clearing Operations – Operations Support & Security Administration, 30/F, One Exchange Square, 8 Connaught Place, Central, Hong Kong.

致: 結算業務 – 運作支援及系統管理, 香港中環康樂廣場 8 號交易廣場 1 期 30 樓

Date 日期: _____

Investor Participant ID 投資者戶口持有人編號: _____ Full Name 全名: _____

Maintenance request (i) e-Cert 電子證書: [] Revoke 撤銷運作 [] Resume 恢復運作
 要求處理事項 (ii) Internet User ID 互聯網使用者編號: [] Revoke 撤銷運作 [] Delete 取消

(i) e-Cert 電子證書

e-Cert Number (SRN)
電子證書編號User Name
使用者姓名CCASS Phone User ID
結算通使用者編號

Surname 姓

Other Name(s) 名

1. _____

2. _____

(ii) Internet User ID 互聯網使用者編號

Internet User ID
互聯網使用者編號User Name
使用者姓名CCASS Phone User ID
結算通使用者編號

Surname 姓

Other Name(s) 名

1. _____

2. _____

SIGNED BY THE INVESTOR PARTICIPANT

投資者戶口持有人簽署

Signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction)

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)

For Office Use Only 公司專用

Ref No. _____

Signature Verified by

Date

Prepared/Checked by

Date

Reviewed by

Date

Updated by

Date

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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

香港交易所及「易定」(「我们」) 根据《个人资料(隐私)条例》(「条例」) 及其他适用法律，收集、处理及存储阁下的个人资料。我们可能会将阁下的个人资料用于以下目的：(i) 提供及改善我们的服务；(ii) 进行市场推广及直接营销；(iii) 进行研究与统计分析；(iv) 处理阁下的申请、订购及登记使用我们的产品或服务；(v) 执行或履行香港交易所及任何由其作为认可控制人的公司的职能(「监管职能」)；(vi) 向阁下提供我们的产品和服务，以及与此相关的账户管理；(vii) 进行研究及统计分析；(viii) 处理阁下的应聘香港交易所职位或工作的申请，以评估阁下是否为合适人选，并向阁下的前雇主进行相关的背景查证；及(ix) 与上列任何一项有直接关联的其他目的。

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的要求而收集并处理阁下的身份证号码，另外亦可能因为需要识别阁下的身份(在不抵触该《条例》的前提下)收集并处理阁下的身份证号码。

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的要求而收集并处理阁下的身份证号码，另外亦可能因为需要识别阁下的身份(在不抵触该《条例》的前提下)收集并处理阁下的身份证号码。

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目的

我们可能会为了以下目的而不时收集阁下的个人资料(包括但不限于阁下的姓名、邮寄地址、电话号码、电邮地址、出生日期和登入名称)：

1. 处理阁下的申请、订购及登记使用我们的产品或服务；
2. 执行或履行香港交易所及任何由其作为认可控制人的公司的职能(「监管职能」)；
3. 向阁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. 处理阁下的应聘香港交易所职位或工作的申请，以评估阁下是否为合适人选，并向阁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

如阁下已经给予同意而其后并无撤回，我们可能会使用阁下的姓名、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阁下的要求，请提供阁下的姓名、电邮地址、登入名称及所订阅产品及/或服务的详情。

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的要求而收集并处理阁下的身份证号码，另外亦可能因为需要识别阁下的身份(在不抵触该《条例》的前提下)收集并处理阁下的身份证号码。

转移阁下的个人资料作直接营销

除非阁下已经拒绝，否则我们可能会将阁下的姓名、邮寄地址、电话号码和电邮地址转交本集团其他成员公司，使其可向阁下寄送宣传资料，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

为了以上一个或多个目的，阁下的个人资料可能会被：

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)的相关人员获得阁下的个人资料；就此，阁下同意外亦可能因为需要识别阁下的身份(在不抵触该《条例》的前提下)收集并处理阁下的身份证号码。
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(收集资料时会通知阁下)。

我们如何使用 cookies

阁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 是指储存在阁下浏览器内的资料档。阁下进入香港交易所网站时，网站即在阁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：一种只在阁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，用处在于取得并储存配置资讯及管理网站，包括「携带」资讯以随阁下浏览网站的不同网页，譬如以免阁下每到一个网页也要重新输入资料。**Session cookies** 也会用来编制备关于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，用以编制备关于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。阁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，这样或会令阁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及规例，或遵守法院指令、传票或其他法定程序(无论於香港或其他地方)，或遵照从政府机关、执法机构或类似机构(无论於香港或其他地方)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/或披露阁下的个人资料。香港交易所及本集团其他成员公司或须披露阁下的权利、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股权易手或业务合并。在这些情况下，阁下的个人资料或会按这份隐私政策声明或另一份将会通知阁下的隐私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用阁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》，阁下有权查明我们是否持有阁下的个人资料、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阁下其持有资料的种类。如欲查阅有关资料，须使用个人资料私隐专员(「私隐专员」)指定的表格(可于私隐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」)。

我们或会因应阁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

任何时候如果阁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阁下的个人资料，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；履行与阁下的任何协议；保障我们及我们雇员的权利、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

本私隐政策声明的中英文本如有差异，概以英文版为准。

联系我们

邮寄：
香港中环康乐广场8号
交易广场2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