

# 太平証券(香港)有限公司

## Taiping Securities (HK) Co Limited

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香港京華道18號19樓3室  
Licensed Corporation of Securities and Futures Commission (CE No. AAE494) &  
證券及期貨事務監察委員會(“證監會”)持牌法團中央編號 AAE494 及  
Participant of The Stock Exchange of Hongkong Ltd. (Participant ID:01217)  
香港聯合交易所有限公司(“聯交所”)參與者 (參與者編號: 01217)

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### Personal Information Collection Statement 個人資料收集聲明

This Personal Information Collection Statement (“**PICS**”) is served by Taiping Securities (HK) Co Limited (“**Taiping**”, “**we**”, “**us**”, “**our**”, including our successors and assigns) in accordance with the Personal Data (Privacy) Ordinance (Cap. 486, Law of Hong Kong) (“**Ordinance**”). It is intended to notify you why data including your personal data is collected, how it will be used and to whom personal data access requests are to be addressed.

本個人資料收集聲明(「個人資料收集聲明」)由太平証券(香港)有限公司(「太平」、「我們」、「我們的」,包括我們的繼任人及受讓人)根據《個人資料(私隱)條例》(香港法例第486章)(「該條例」)送達。本聲明旨在通知閣下為何收集資料(包括閣下的個人資料)、該等資料將如何使用,以及個人資料取用要求應向誰人提出。

This PICS should be read together with our Privacy Policy Statement (“**PPS**”) (<https://www.tpfh.cntaiping.com/tc/service/detail/download-center>).

本個人資料收集聲明應與我們的私隱政策聲明(「私隱政策聲明」) (<https://www.tpfh.cntaiping.com/tc/service/detail/download-center>) 一併閱讀。

### Collection of your personal data 收集閣下的個人資料

- From time to time, we may collect personal data of customers and other individuals in connection with matters and purposes set out in this PICS. These customers and other individuals may include the following or any of them (“**you**”, “**your**”): 我們可不時就本個人資料收集聲明所載事項及目的收集客戶及其他人士的個人資料。該等客戶及其他人士可能包括以下各項或其中任何類別(「閣下」、「閣下的」):
  - applicants for our Facilities, Products and Services; 我們的信貸額度、產品及服務的申請人;
  - our customers; 我們的客戶;
  - referees; 推薦人;
  - corporate officers and managers (e.g. authorised signatories, contact persons, company secretary, directors, shareholders, beneficial owners of a corporate); 公司行政人員及經理(例如公司的授權簽署人、聯絡人、公司秘書、董事、股東、實益擁有人);
  - suppliers, manufacturers, service providers, agents and other contractual counterparties; 供應商、製造商、服務提供者、代理人及其他訂約對手方;
  - beneficiaries; 受益人;
  - financing agents (e.g. banks, trusts and factoring companies); and 財務代理人(例如銀行、信託及保理公司); 及
  - any other third party dealing with or through us. 與或透過我們有事務往來的任何其他第三方。
- We may also collect your personal data, directly or indirectly, in the ordinary course of our business, including (without limitation) information received from any member of the Taiping Group, third parties, the public domain, collected through your use of our website, cookies, mobile application (“**App**”), behavioural or location tracking tools or other services of us. 我們也可在我們的日常業務過程中直接或間接收集閣下的個人資料,包括(但不限於)接收自太平集團任何成員、第三方、公共領域,透過閣下使用我們的網站、cookies、流動應用程式(「應用程式」)、行為或位置追蹤工具或我們其他收集資料的服務。
- We may collect from your personal data including (without limitation) your name, identity card number, date of birth, residential and correspondence address, phone number, email address, employment information, address/ income/ asset proof, credit-related information and digital footprints (such as cookies) etc. 我們可向閣下收集個人資料,包括(但不限於)閣下的姓名、身份證號碼、出生日期、居住及通訊地址、電話號碼、電郵地址、受僱資料、地址/收入/資產證明、信貸相關資料及數碼足跡(例如cookies)等。
- We may collect sensitive data relating to you for purposes such as verification of identity and assessing an application. Examples of “sensitive data” that we may collect include data concerning your finance and location. 我們可就核證身份及評定申請等用途收集有關閣下的敏感資料。收集的「敏感資料」包括有關閣下的財務及位置的資料。
- We require your personal data in order to provide you with Facilities, Products and Services you have requested and to manage our legal and regulatory obligations while doing so. You must provide us with the personal data we request to the extent necessary for the purposes listed in this PICS. If the personal data requested by us is not supplied, we may not be able to provide you with the requested Facilities, Products and Services or may need to close or terminate any arrangements that we have. 我們要求閣下提供個人資料,以便向閣下提供閣下要求的信貸額度、產品及服務,以及在過程中管理我們的法律及監管責任。閣下必須向我們提供在本個人資料收集聲明所列用途範圍以內我們所要求的個人資料。如閣下未能提供我們要求的個人資料,我們可能無法向閣下提供要求的信貸額度、產品及服務,我們可能需要結束或終止我們之間的任何既定安排。

**Purpose for which your personal data may be used 閣下的個人資料可能用作的用途**

6. We may use your personal data for the following purposes: 我們可將閣下的個人資料用作以下用途：
- (a) considering applications for Facilities, Products and Services and facilitating the daily operation of Facilities, Products and Services provided to you; 考慮信貸額度、產品及服務的申請，以及維持向閣下提供的信貸額度、產品及服務的日常工作；
  - (b) conducting credit checks (including without limitation upon an application for margin finance and upon periodic or special reviews of the credit which normally will take place one or more times each year); 進行信貸審查（包括（但不限於）在申請保證金貸款時及對信貸進行定期或特別審查（一般將於一年進行一次或多次）時）；
  - (c) creating and maintaining our credit and risk related models; 設立並維持我們的信貸及風險相關模型；
  - (d) assisting other financial institutions to conduct credit checks and collect debts; 協助其他金融機構進行信貸審查並收回債務；
  - (e) ensuring your ongoing credit worthiness; 確保閣下的信用維持良好；
  - (f) designing financial services or related products for your use; 設計以供閣下使用的金融服務或相關產品；
  - (g) marketing Facilities, Products and Services; 營銷信貸額度、產品及服務；
  - (h) determining the amount of indebtedness owed to or by you; 確定結欠閣下或閣下結欠的債務的金額；
  - (i) collecting of amounts outstanding from you and those providing security for your obligations; 向閣下（以及為閣下的義務提供擔保的人士）收回未付的款項；
  - (j) meeting our obligations, requirements or arrangements or those of any member of the Taiping Group, whether compulsory or voluntary, to comply with, or in connection with: 履行我們或太平集團任何成員須遵守或與以下相關的（不論是強制性或自願的）義務、規定或安排：
    - (i) any law, regulation, judgment, court order, voluntary code, sanctions regime, within or outside Hong Kong existing currently and in the future (“Laws”); 現時及今後在香港境內或境外的任何法例、法規、判決、法院命令、自願守則、制裁制度（「法例」）；
    - (ii) any guidelines, guidance or requests given or issued by any legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations of financial services providers within or outside Hong Kong existing currently and in the future and any international guidance, internal policies or procedures; 現時及今後在香港境內或境外的任何法律、監管、政府、稅務、執法或其他機關，或自我監管或行業團體或金融服務提供方協會授予或頒佈的任何指引、準則或要求，以及任何國際準則、內部政策或程序；
    - (iii) any present or future contractual or other commitment with local or foreign legal, regulatory, judicial, administrative, public or law enforcement body, or governmental, tax, revenue, monetary, securities or futures exchange, court, central bank or other authorities, or self-regulatory or industry bodies or associations of financial service providers or any of their agents with jurisdiction over all or any part of the Taiping Group (together the “Authorities” and each an “Authority”) that is assumed by, imposed on or applicable to us or any member of the Taiping Group; and 太平集團的任何成員承擔、或對其實施或適用的與對太平集團的全部或任何部分有管轄權的本地或外國法律、監管、司法、行政、公共或執法團體，或政府、稅務、稅收、貨幣、證券或期貨交易所、法院、中央銀行或其他機關，或自我監管或行業團體或金融服務提供方協會或其任何代理人（「監管機構」）的任何現時或今後的合約或其他承擔；及
    - (iv) any agreement or treaty between Authorities; 監管機構之間的任何協議或條約；
  - (k) complying with any obligations, requirements, policies, procedures, measures or arrangements for sharing data and information between members of the Taiping Group and/or any other use of data and information in accordance with any programmes for compliance with sanctions or prevention or detection of money laundering, terrorist financing or other unlawful activities; 遵守制裁或防止或偵測清洗黑錢、恐怖分子資金籌集或其他非法活動的任何計劃，遵守在太平集團成員之間分享資料及資訊，及 / 或對資料及資訊的任何其他方式的使用的任何義務、規定、政策、程序、措施或安排；
  - (l) conducting any action to meet our obligations of or those of any member of the Taiping Group to comply with Laws or international guidance or regulatory requests relating to or in connection with the detection, investigation and prevention of money laundering, terrorist financing, bribery, corruption, tax evasion, fraud, evasion of economic or trade sanctions and/or any acts or attempts to circumvent or violate any Laws relating to these matters; 採取任何行動，以履行太平或太平集團的任何成員遵守關於或就偵測、調查及防止清洗黑錢、恐怖分子資金籌集、賄賂、貪污、逃稅、欺詐、逃避經濟或貿易制裁（及 / 或避免或觸犯關於此等事宜的任何法例的任何行為或嘗試）的法例或國際準則或監管要求的義務；
  - (m) meeting any of our obligations or those of any member of the Taiping Group to comply with any demand or request from the Authorities; 履行太平或太平集團的任何成員遵守監管機構的任何要求或申請的任何義務；
  - (n) enabling our actual or proposed assignee or that of any member of the Taiping Group, or participant or sub-participant of our rights or those of any member of the Taiping Group in respect of you, to evaluate the transaction intended to be the subject of the assignment, participation or sub-participation; and 讓太平或太平集團的任何成員的實際或建議受讓人、太平或太平集團的任何成員就閣下的權利的參與人或附屬參與人評估擬作為轉讓、參與或附屬參與的主體的交易；及
  - (o) any other purposes relating to the purposes listed above. 與上述各項的相關的任何其他用途。

**Classes of persons to whom personal data may be transferred 可向其轉移個人資料的人士類別**

7. Personal data held by us relating to an individual will be kept confidential but we may provide such information to the following parties (whether within or outside Hong Kong) for the purposes set out in paragraph 6 above: 我們所持有的個人資料將予保密，但我們可就上文第6段所載的用途而言，向以下各方（不論位於香港境內或境外）提供有關資料

- (a) any of our agents, contractors, sub-contractors, service providers or associates or those of any member of the Taiping Group (including their employees, directors, officers, agents, contractors, service providers, and professional advisers); 我們或太平集團的任何成員 (包括其僱員、董事、高級職員、代理人、承判商、服務提供者及專業顧問) 的任何代理人、承判商、分判商、服務提供者或聯繫人士;
- (b) any third party service provider who provides administrative, telecommunications, computer, payment or securities clearing or other services to us or any member of the Taiping Group in connection with the operation of its business (including their employees, directors and officers); 就太平經營其業務而言向太平集團任何成員 (包括其僱員、董事及高級職員) 提供行政、電訊、電腦、付款或證券結算或其他服務的任何第三方服務提供者;
- (c) any Authorities; 任何監管機構;
- (d) any person under a duty of confidentiality to us or any member of the Taiping Group which has undertaken to keep such personal data confidential; 對太平負有保密責任的任何人士, 包括已承諾保持有關資料保密的太平集團的任何成員;
- (e) any persons acting on behalf of an individual whose personal data are provided; 代表提供個人資料人士行事的任何人士;
- (f) any payment recipients, beneficiaries, account nominees, intermediaries, correspondent and agent banks, clearing houses, clearing or settlement systems, market counterparties, upstream withholding agents, swap or trade repositories, stock exchanges, companies in which you have an interest in securities (where such securities are held by us or any member of the Taiping Group) or a person making any payment into your account; 任何收款人、受益人、賬戶代名人、中介機構、往來及代理銀行、結算行、結算或交收系統、市場對手方、上游預扣代理、掉期或交易資料管理機構、證券交易所、閣下有證券權益的公司 (而有關證券是由太平或太平集團的任何成員持有), 或向閣下的賬戶作出任何付款的人士;
- (g) credit reference agencies, and, in the event of default, to debt collection agencies; 信貸資料機構及 (如有違約情況) 債務追討公司;
- (h) any person to whom we or any member of the Taiping Group are under an obligation or required or expected to make disclosure for the purposes set out in, or in connection with, paragraphs 6(j) and 6(k) and 6(l) above; 太平或太平集團的任何成員就上文第 6(j)、6(k)及 6(l)段所載目的或就此有責任或必須或被預期向其作出披露的任何人士;
- (i) any actual or proposed assignee of ours or participant or sub-participant or transferee of our rights in respect of you; 我們的任何實際或建議受讓人, 或我們就閣下的權利的參與人或附屬參與人或承讓人;
- (j) any persons giving or proposing to give a guarantee or security to guarantee or secure your obligations to us; 任何作出或擬作出擔保或抵押以擔保或保證閣下對我們履行責任的人士;
- (k) any member of the Taiping Group; 太平集團的任何成員;
- (l) third party financial institutions, insurers, credit card companies, securities and investment services providers; 第三方金融機構、保險公司、信用卡公司、證券及投資服務提供者;
- (m) any third party reward, loyalty, co-branding and privileges programme providers; 任何第三方回贈、忠誠、聯合品牌及專享優惠計劃提供者;
- (n) any co-branding partners of us or any other member of the Taiping Group (the names of such co-branding partners can be found in the application form(s) and/or advertising material(s) for the relevant services and products, as the case may be); and 太平或太平集團任何其他成員的任何合作品牌夥伴 (有關合作品牌夥伴的名字可在相關服務及產品 (以情況而定) 的申請表格及 / 或廣告材料找到); 及
- (o) external service providers (including but not limited to mailing houses, telecommunication companies, telemarketing and direct sales agents, call centres, data processing companies and information technology companies) that we or any member of the Taiping Group engage(s) for the purposes of providing the Facilities, Products and Services. 太平或太平集團任何成員聘請以提供信貸額度、產品及服務的外聘服務提供者 (包括 (但不限於) 郵遞公司、電訊公司、電話推廣及直接銷售代理、客戶服務中心、數據處理公司及資訊科技公司)。

8. Your personal data may be processed, kept and transferred or disclosed in and to a jurisdiction outside Hong Kong. Such data may also be processed, kept, transferred or disclosed in accordance with the local practices and laws, rules and regulations (including any governmental acts and orders) in that jurisdiction. 閣下的個人資料可能在香港以外的司法管轄區處理、保存及移轉或披露。有關資料也可能根據該司法管轄區的當地慣例及法例、規則及法規 (包括任何政府行為及命令) 被處理、保存、移轉或披露。

**Provision of personal data to credit reference agencies and debt collection agencies 向信貸資料機構及債務追討公司提供個人資料**

9. We may provide the following personal data relating to you (whether in sole name or joint names with others) to a credit reference agency and/or a debt collection agency: 我們可能向信貸資料機構及 / 或債務追討公司提供有關閣下 (不論以單獨名義或與其他人士聯名) 的個人資料:

- (a) general particulars (such as your name, address, contact information, date of birth or date of incorporation, identity card number or travel document number or certificate of incorporation number); 一般資料 (例如閣下的姓名、地址、聯絡資料、出生日期或公司註冊成立日期、身份證號碼或旅遊證件號碼或公司註冊證書號碼);
- (b) account information (such as your risk and credit rating, account number, type of facility account, account status (e.g. active, closed, write-off) and account closure date (if any) in respect of the Facilities, Products and Services); and 賬戶資料 (例如就信貸額度、產品及服務而言閣下的風險及信用評級、賬戶號碼、信貸賬戶類型、賬戶狀況 (例如活躍、已結束、撇銷) 及賬戶結束日期 (如有)); 及
- (c) credit application data (such as the fact that you have made an application for consumer credit, the type and the amount of credit sought). 信貸申請資料 (例如閣下曾申請消費者信貸、所申請信貸的類型及金額之事宜)。

10. You can instruct us to make a request to the credit reference agency to delete any account data (including account repayment data) from its database within 5 years of termination of the account by full repayment provided that there has not been any default of payment in relation to the account, lasting in excess of 60 days within 5 years immediately before account termination. 閣下可指示我們, 向

該信貸資料機構提出要求，經全數還款後，於賬戶終止後5年內要求從其資料庫中刪除任何賬戶資料（包括賬戶還款資料），惟該賬戶須在緊接賬戶終止前的5年內未發生任何超過60日的付款拖欠。

11. In the event of any default of payment relating to an account, unless the amount in default is fully repaid or written off (other than due to a bankruptcy order) before the expiry of 60 days from the date such default occurred, the account repayment data may be retained by the credit reference agency until the expiry of 5 years from the date of final settlement of the amount in default. 如有任何與賬戶有關的付款拖欠，除非在該等欠款發生日期起計的60日屆滿前已全部清還或撇銷（因破產令所致者除外）該等欠款，否則，信貸資料機構可保留賬戶還款資料，直至自違約金額最終償還之日起計5年屆滿。
12. In the event any amount in an account is written-off due to a bankruptcy order being made against you, the account repayment data may be retained by the credit reference agency, regardless of whether the account repayment data reveal any default of payment lasting in excess of 60 days, until the expiry of 5 years from the date of final settlement of the amount in default or the expiry of 5 years from the date of discharge from a bankruptcy as notified by you with evidence to the credit reference agency, whichever is earlier. 倘由於針對閣下發出的破產令導致賬戶的任何金額被撇銷，信貸資料機構可保留賬戶還款資料（不論賬戶還款資料是否顯示任何超過60日的付款拖欠），直至拖欠金額最終償還之日起計5年或閣下向信貸資料機構提交的證明文件所載的破產解除日起計5年屆滿（以較早者為準）。
13. For the purpose of paragraphs 10, 11 and 12 above, “**account repayment data**” includes amount last due, amount of payment made during the last reporting period (being a period not exceeding 31 days immediately preceding the last contribution of account data by us to a credit reference agency), remaining available credit or outstanding balance and default data (being amount past due and number of days past due, date of settlement of amount past due, and date of final settlement of amount in default lasting in excess of 60 days (if any)). 就上文第10、11及12段而言，「賬戶還款資料」包括最後到期金額、上一個報告期（緊接我們最近一次向信貸資料機構提供賬戶資料之前不超過31日的期間）內的付款金額、剩餘可用的信貸或未償還的餘額及違約資料（包括逾期金額和逾期日數、逾期金額的償還日期及逾期超過60日的拖欠金額的最終償還日期（如有））。
14. We may have obtained a credit report on or access the database of you from a credit reference agency in considering any application for credit or conducting credit reviews from time to time. In the event you wish to access the credit report, we will advise the contact details of the relevant credit reference agency. 我們在考慮閣下的任何信貸申請或進行信貸檢討時可能向信貸資料機構索取閣下的信貸報告或存取閣下的資料庫。如果閣下有意存取該信貸報告，我們會告知閣下相關信貸資料機構的聯絡詳情。
15. Without limiting the generality of the foregoing, we may from time to time access the personal and account information or records of you held by the credit reference agency for the purpose of reviewing any of the following matters in relation to the existing credit facilities granted to you or a third party whose obligations are guaranteed by you: 在不限制前述條文一般性的前提下，我們可能會不時存取信貸資料機構所持有閣下的個人及賬戶資料或記錄，以審查與向閣下或閣下擔保其債務的第三方授予的現有信貸額度有關的以下事項：
  - (a) an increase in the credit amount; 增加信貸金額；
  - (b) the curtailing of credit (including the cancellation of credit or a decrease in the credit amount); and 縮減信貸（包括取消信貸或減少信貸金額）；及
  - (c) the putting in place or the implementation of a new or updated scheme of arrangement with you or the third party. 制定或實施與閣下或該第三方訂立的償債安排。

#### **Use of your personal data in direct marketing 將閣下的個人資料用於直接行銷**

16. We intend to use your personal data in direct marketing and we require your consent (which includes an indication of no objection) for that purpose. In this connection, please note that: 我們擬將閣下的個人資料用於直接行銷，為此我們需要獲得閣下的同意（包括無異議表示）。就此而言，請注意：
  - (a) the name, contact details, products and other service portfolio information, transaction pattern and behaviour, financial background and demographic data of you held by us from time to time may be used by us in direct marketing; 我們可能使用我們不時持有閣下的姓名、聯絡資訊、產品及其他服務組合詳情、交易模式及行為、財務背景及 / 或人口統計數據作直接行銷；
  - (b) the following classes of services, products and subjects may be marketed: 以下類別的服務、產品及事物可以促銷：
    - (i) securities, financial, investment products and services; 證券、金融、投資產品及服務；
    - (ii) margin financing, securities lending and other credit facilities; 保證金融資、證券借貸及其他信貸額度；
    - (iii) reward, loyalty or privileges programmes and related services and products; and 回贈、忠誠或優惠專享計劃及相關服務和產品；及
    - (iv) services and products offered by our co-branding partners (the names of such co-branding partners can be found in the application form(s) and/or advertising material(s) for the relevant services and products, as the case may be). 我們的聯合品牌夥伴（該等聯合品牌夥伴的名稱可在相關服務及產品的申請表及 / 或廣告材料（視情況而定）內找到）提供的服務及產品。
17. The above services, products and subjects may be provided by or (in the case of donations and contributions) solicited by us and/or: 上述服務、產品及事物可由我們及 / 或以下各方提供或（如屬捐贈及資助）招攬：
  - (a) any member of the Taiping Group; 太平集團的任何成員；
  - (b) third party financial institutions, insurers, credit card companies, and securities and investment services providers; 第三方金融機構、保險公司、信用卡公司及證券與投資服務提供者；
  - (c) third party reward, loyalty, co-branding or privileges programme providers; 第三方回贈、忠誠或優惠專享計劃提供者；
  - (d) co-branding partners of ours or any member of the Taiping Group; and/or 太平或太平集團任何成員的聯合品牌夥伴；及 / 或
  - (e) charitable or non-profit making organisations. 慈善或非牟利機構。
18. In addition to marketing the services, products and subjects itself: 除本身促銷服務、產品及事物外：
  - (a) we also intend to provide the personal data described in paragraph 16(a) above to all or any of the persons described in paragraph 17 above for use by them in marketing those services, products and subjects, and we require your written consent (which includes an indication of no objection) for that purpose; and 我們亦打算將上文第 16(a)段所述的個人資料向上文



第 17 段所述的所有或任何人士提供，以便他們用於促銷該等服務、產品及事物，而我們需要為此目的取得閣下的書面同意（包括無異議表示）；及

- (b) we may receive money or other property in return for providing the personal data to the other persons in paragraph 18(a) above and, when requesting your consent, we will inform you if we will receive any money or other property in return for providing the personal data to the other persons. 我們可能會就上文第 18(a)段所述的人士提供個人資料而獲得金錢或其他財產回報，在請求閣下同意時，我們會告知閣下我們是否將憑藉向其他人士提供該等個人資料而獲得任何金錢或其他財產回報。

19. **If you do not wish us to use or to provide to other persons your personal data for use in direct marketing, you may notify us at any time and without charge to opt-out of using your personal data either generally or selectively for direct marketing purposes.** 如果閣下不希望我們使用閣下的個人資料或將其提供給其他人士用於直接行銷，閣下可於任何時間通知我們，並且可免繳費用地選擇不使用閣下的個人資料作一般或選擇性直接行銷用途。

#### **Use of your personal data for the Hong Kong Investor Identification Regime 將閣下的個人資料用於香港投資者識別碼制度**

20. You acknowledge and agree that we may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(s)) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (“SEHK”) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (“SFC”) in effect from time to time. Without limiting the foregoing, this includes: 閣下確認並同意，為向閣下提供與在香港聯合交易所（「聯交所」）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所和證券及期貨事務監察委員會（「證監會」）的規則和規定，我們可收集、儲存、處理、使用、披露及轉移與閣下有關係的個人資料（包括閣下的客戶識別信息及券商客戶編碼）。在不限制以上內容的前提下，當中包括：

- (a) disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time; 根據不時生效的聯交所及證監會規則和規定，向聯交所及／或證監會披露及轉移閣下的個人資料（包括客戶識別信息及券商客戶編碼）；
- (b) allowing SEHK to: 允許聯交所：
- (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; 收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場以及執行聯交所的《交易所規則》；
- (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and 向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及
- (iii) use such information for conducting analysis for the purposes of market oversight; and 為監察市場目的而使用有關資料進行分析；及
- (c) allowing the SFC to: 允許證監會：
- (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and 收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及
- (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements. 根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent. 閣下亦同意，即使閣下其後宣稱撤回同意，我們在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

Failure to provide us with your personal data or consent as described above may mean that we will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any). 閣下如未能向我們提供個人資料或上述同意，可能意味著我們不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務（出售、轉出或提取閣下現有的證券持倉（如有）除外）。

In this paragraph, 在本段內，

“BCAN” means a “Broker-to-Client Assigned Number”, being a unique identification code in the format prescribed by SEHK, generated by us and assigned to you in accordance with SEHK’s requirements, and has such meanings as described in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission (“Code of Conduct”); and

「**券商客戶編碼**」指「**券商客戶指定編碼**」，即我們根據聯交所的要求按聯交所規定的格式編派予閣下的唯一識別編碼，並具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》（「**操守準則**」）第5.6條賦予其之涵義；及

“CID” means the client identification data (including the identity document number), and has such meanings as described in paragraph 5.6 of the Code of Conduct. 「**客戶識別信息**」指客戶識別信息（包括身份文件編號），並具有《操守準則》第5.6條賦予其之涵義。

#### **Use of cookies Cookies 的使用**

21. If you accept cookies, you will be acknowledging that your information is being collected, stored, accessed and used as outlined below. 倘閣下接受cookies，即表示閣下確認閣下的資料將如下文概述的方式收集、儲存、存取及使用。
22. Cookies are small data files which are placed on your device when you visit certain parts of our website or App or click on our online advertisements. Cookies and similar technologies are used to identify your device for the following purposes: Cookies 為小型數據檔案，於閣下瀏覽我們的網站或應用程式或鍵入我們的線上廣告時放置在閣下的裝置上。Cookies及類似技術乃用以辨識閣下的裝置，作下列用途：
- (a) **Strictly necessary cookies.** These essential cookies are set throughout our website or App and are required for the operation of our website or App to: 絕對必要 cookies。這些必要的 cookies 在我們的網站或應用程式均有設置，是操作我們的網站或應用程式所必需，用途是：
- (i) allow our web server to determine whether the cookies setting on your web browser has been enabled or disabled. This allows us to know whether data can be collected from your web browser; 允許我們的網絡伺服器確定設於閣下的網絡瀏覽器的 cookies 是否被啟動或停用。此容許我們知悉可否從閣下的網絡瀏覽器收集資料；
  - (ii) temporarily allow you to carry information between pages of our website or App to avoid having to re-enter that information; or 暫時容許閣下在我們的網站或應用程式留下資料，以避免重新輸入有關資料；或
  - (iii) temporarily identify your device after you have logged in to a secure page on our website or App so that our web server can maintain a dialogue with your web browser in order for you to carry out certain activities. 在閣下登入我們的網站或應用程式的安全頁面後暫時辨識閣下的裝置，讓我們的網絡瀏覽器與閣下的網絡瀏覽器保持對話，以便閣下進行某些活動。
- (b) **Analytical/performance cookies.** These are used to help us improve our website or App by tracking your visits to our website or App and recognising your web browser when you are a repeat visitor so that we can gather statistics on new and repeat visitors to evaluate site effectiveness. 分析性 / 表現性 cookies。這些 cookies 幫助我們透過追蹤閣下對我們的網站或應用程式的瀏覽改善我們的網站或應用程式，如閣下是經常訪客，閣下的網絡瀏覽器可被辨識，因此有助我們收集新舊訪客的統計資料，從而評估網站的有效性。
- (c) **Functionality cookies.** These are used to recognise you when you return to our website or App. This enables us to: 功能性 cookies。這些 cookies 在閣下再次瀏覽我們的網站或應用程式時用以辨識閣下，有助我們：
- (i) personalise our content for you and remember your preferences (for example, your choice of language and region); or 為閣下提供個人化內容和記得閣下的偏好（例如閣下的語言及地區選擇）；或
  - (ii) store your login and other preferences so you do not have to re-enter that information when you return to the website or App. 儲存閣下的登入及其他偏好，讓閣下返回網站或應用程式時無需再次輸入有關資料。
- (d) **Targeting / advertising cookies.** These cookies record your visit to our website or App, your response to our online advertisements, and track the pages you have visited and the website links you have followed. We use this information to: 針對性 / 廣告 cookies。這些 cookies 記錄閣下瀏覽我們的網站或應用程式、閣下對我們線上廣告的回應，以及追蹤閣下曾經瀏覽的頁面及閣下曾經追蹤的網站連結。我們使用這些資料：
- (i) make our website or App more relevant to your interests; 令我們的網站或應用程式與閣下的興趣更加相關；
  - (ii) provide online advertisements or offers on our website or App or third-party websites which are most likely to interest you; or 在我們的網站或應用程式或第三方網站提供閣下可能最感興趣的線上廣告或優惠；或
  - (iii) evaluate the effectiveness of our online marketing and advertising programs. 評估我們的線上行銷及廣告計劃的有效性。
23. The above cookies may be placed on your device by us or by third parties on our behalf (for example, advertising networks and providers of external services like web traffic analysis services). No personally identifiable information about you is collected or shared with third parties as a result of this research. 我們或代表我們的第三方（例如廣告網絡及外界服務提供者，例如網絡交通分析服務）可將上述cookies置於閣下的裝置。閣下不會有可辨認個人身份的資料因此項研究而被收集或分享予第三方。
24. **Most web browsers are initially set up to accept cookies. You can choose to ‘not accept’ cookies by changing the settings on your web browser but if you block all cookies, including strictly necessary cookies, you may find that certain features on our website or App will not work properly.** 大部分網絡瀏覽器的初始設定均為接受cookies。閣下可更改閣下的網絡瀏覽器的設定以選擇「不接受」cookies，但如閣下阻截所有cookies，包括絕對必要cookies，閣下可能會發現我們的網站或應用程式上的某些功能將不能正常操作。

#### **Retention of your personal data 保留閣下的個人資料**

25. We may retain your personal data for as long as the purpose for which it was collected remains and until it is no longer necessary for any other legal or business purposes. 我們可以在有需要保留閣下個人資料的期間一直保留該資料，直至不再需要用於任何其他法律或業務用途為止。

#### **Requesting access to and correction of your personal data 要求查閱並修改閣下的個人資料**

26. You have the right to: 閣下有權：
- check whether we hold personal data about you and/or access to such data; 查詢我們是否持有有關閣下的個人資料及 / 或查閱有關資料；
  - require us to correct any personal data relating to you which is inaccurate; 要求我們修改與閣下有關的任何不準確的個人資料；
  - withdraw any consent that he/she has previously given us with respect to our use of your personal data; and撤回其以往向我們發出有關我們使用閣下個人資料的任何同意；及
  - ascertain our policies and practices in relation to personal data and to be informed of the kind of personal data held by us. 確定我們就個人資料而言的政策及慣例，並獲告知我們持有的個人資料種類。
27. Your rights above will be subject to ongoing obligations imposed on us pursuant to any applicable law or regulation, and/or our legitimate reason or entitlement to continue processing your information, and/or to refuse that request. 閣下的上述權利將取決於根據任何適用法律或法規向我們施加的持續責任，及 / 或我們繼續處理閣下資料及 / 或拒絕該要求的合法理由或權利。
28. We have the right to charge a reasonable fee for the processing of any personal data access request. 我們有權就處理任何查閱個人資料的申請收取合理的費用。

#### **Security and outsourcing 保安及外判**

29. The security of personal data is important to us. We have technical and organisational security measures in place to safeguard your personal data (including personal data in transit and storage). These security measures ensure that confidentiality and integrity of your personal data is not compromised. 個人資料的保安對我們而言十分重要。我們備有技術上及組織上的安全措施以保護閣下的個人資料 (包括個人資料的傳輸及儲存)。該等安全措施確保閣下個人資料的保密性及完整性不會受到侵害。
30. Your personal data may be outsourced to or processed by our agents, contactors or external service providers or those of other members of the Taiping Group (whether within or outside Hong Kong). When using external service providers, we require that they adhere to security standards mandated by us and the Taiping Group. We may do this through contractual provisions, including any such provisions approved by a privacy regulator, and oversight of the service provider. Regardless of where personal data is transferred, we take all steps reasonably necessary to ensure that your personal data is kept securely. 閣下的個人資料可外判予我們的客戶、承包商或外界服務提供者，或太平集團其他成員 (不論是否位於香港)。當使用外界服務提供者時，我們要求他們遵守我們及太平集團訂立的安全標準。為達到此標準，我們可透過合約條文 (包括獲私隱監管機構批准的任何有關條文) 及監察有關服務提供者進行。不論個人資料在何處傳輸，我們會採取所有合理必要的步驟確保閣下的個人資料安全地保存。
31. You should be aware that the Internet may not be a secure form of communication and sending us personal data over the Internet may carry with it risks including the risk of access and interference by unauthorised third parties. Information passing over the Internet may be transmitted internationally (even when sender and recipient are located in the same country) via countries with weaker privacy and data protection laws than your country of residence. 請注意，互聯網可能不是一種安全的通訊形式，而透過互聯網向我們傳送個人資料可能會帶來風險，包括被未獲授權的第三方存取及干擾的風險。透過互聯網傳遞的資訊可能會通過或被傳送到一些私隱和資料保護法律較閣下所居住的國家所要求的標準更薄弱的國家 (即使發送方和接收方位於同一國家)。

#### **Personal data of another person 其他人士的個人資料**

32. Where you have provided us with another person's personal data, you should provide him/her with a copy of this PICS and inform them of how we may use their personal data. 如閣下向我們提供其他人士的個人資料，閣下應向其提供一份本個人資料收集聲明的副本，並告知其我們可怎樣使用其個人資料。

#### **Our contact person 我們的聯絡人**

33. You may send requests for access to or correction of personal data, or for withdrawal of any consent, or for information regarding policies and practices and kinds of personal data held by us [by post and by email to: 閣下可要求存取或更正個人資料，或撤回有關政策及慣例的資料及我們持有的個人資料種類的任何同意，請以郵寄及電郵方式通知：  
**The Data Protection Officer Customer Services Department** 客戶服務部資料保護主任  
**Unit 3, 19/F, No.18 King Wah Road, Hong Kong** 香港京華道18號19樓3室

#### **Applicability 適用性**

34. This PICS applies to any individuals who supply his/her personal data to Taiping. This PICS also applies to all transactions entered into by you with or through us, whether before or after the date of this PICS. 本個人資料收集聲明適用於向太平提供其個人資料的任何個人。本個人資料收集聲明亦適用於閣下與我們之間或通過我們所簽訂的所有交易 (不論交易日期是在本個人資料收集聲明日期之前還是之後)。

#### **Rights protected 權利受到保障**

35. Nothing in this PICS shall limit your rights under the Ordinance. 本個人資料收集聲明的內容概不限制閣下在該條例下的權利。

#### **Definitions 釋義**

In this PICS, unless inconsistent with the context or otherwise specified, the terms below shall have the following meanings: 在本個人資料收集聲明內，除非與文意不符或另行規定，否則，下列詞語應具有下述含義：

“account(s)” “賬戶” means, for each facility, product or service which we may from time to time make available to you, the account that is, opened and/or maintained in respect of it from time to time. 指就我們可不時向閣下提供的每項信貸額度、產品或服務而言，不時就此開立及 / 或維持的賬戶。

“disclose”, “disclosing” or in relation to personal data, includes disclose or disclosing information inferred from the data. 就個人資料而言，包括披露資料或披露自該資料推斷出的資訊。

<p>“Facilities, Products and Services” 「信貸額度、產品及服務」</p>	<p>means products or services offered or to be offered by or through us (which may include [securities, financial and/or investment products and services, margin financing, securities lending and other credit facilities as well as products and services relating to these, subject to obtaining the relevant regulatory approvals in Hong Kong or elsewhere). 指我們提供或透過我們提供的產品或服務 (可能包括證券、金融及 / 或投資產品及服務、保證金融資、證券借貸及其他信貸額度, 以及與上述各項有關的產品及服務, 須取得香港或其他地方的有關監管批准)。</p>
<p>“Hong Kong” 「香港」</p>	<p>means the Hong Kong Special Administrative Region of the PRC. 指中國香港特別行政區。</p>
<p>“personal data” 「個人資料」</p>	<p>means any data: 指與以下有關的任何資料：</p> <ul style="list-style-type: none"> <li>(a) relating directly or indirectly to a living individual; 直接或間接與一名在世人士有關；</li> <li>(b) from which it is practicable for the identity of the individual to be directly or indirectly ascertained; and 可切實地直接或間接用以確定有關人士的身份；及</li> <li>(c) in a form in which access to or processing of the data is practicable. 其存在形式令查閱或處理均屬切實可行。</li> </ul>
<p>“Taiping Group” 「太平集團」</p>	<p>means the group comprising Taiping, its holding company, any subsidiary or affiliate of Taiping or its holding company and any of their respective branches, offices or units, in each case whether in Hong Kong or elsewhere. 指包括太平、其控股公司、太平或其控股公司的任何附屬公司或關聯公司及其各自的任何分支機構、辦事處或單位, 在各情況下不論是在香港或其他地方。</p>
<p>“PRC” 「中國」</p>	<p>means the People’s Republic of China. 指中華人民共和國。</p>

**Note:** In case of discrepancies between the English and Chinese versions, the English version shall prevail.

註：如英文與中文版本之間有任何歧義，概以英文版本為準。