

## Attachment 2: PERSONAL Data (Private) Ordinance

### 附件 2: 個人資料(私隱)條例通知

#### AMC WANHAI SECURITIES LIMITED (the Company) (“本公司”)

This Statement is given pursuant to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong Special Administrative Region) ("Ordinance") in relation to the supply of client's personal data to the Company for the opening or maintaining of client account(s) ("the Account") for securities trading and related services with the Company.

此聲明是依照香港特別行政區法例第 486 章個人資料（私隱）條例（“條例”）作出的。它是關於客戶在本公司開立或持續操作帳戶（“帳戶”）以作證券買賣及有關服務時向本公司提供個人資料的聲明。

#### 1. Purposes of Collection 收集目的

The personal data provided by the Client to the Company and in any documentation which comes into existence as a result of client's opening or maintaining of the Account with the Company, will be used by the Company for the following purposes:

客戶因在本公司開立或持續操作帳戶而向本公司及在任何文件所提供的個人資料將被本公司作為下列用途：

activities relating to the processing of client's application to open and maintain the Account, including but not limited to conducting credit reporting through credit report agencies both in Hong Kong Special Administrative Region ("HKSAR") and overseas, or the processing of client's application for grant of credit or margin facilities by the Company or the maintaining and the review of such credit or margin facilities (if applicable);

與處理客戶申請開立及持續操作帳戶有關事宜，包括但不限於透過本港及海外的信貸報告或處理客戶向本公司申請給予信貸或「孖展」的安排（如適用）；

activities relating to purchasing, selling, investing, exchanging, acquiring, holding, disposing of and generally dealing in and with all kinds of securities on behalf of client;

代購買、出售、投資、交易、收購、保管、處置及辦理各種證券等有關事宜；

maintenance of particulars and data in compliance with the statutes and subsidiary legislation which are enacted and effective in HKSAR relating to securities business and transactions and also in compliance with the codes of the Securities and Futures Commission ("SFC"), the rules and regulations of The Stock Exchange of Hong Kong Limited ("the Exchange") and Hong Kong Securities Clearing Company Limited ("the Clearing House"); and direct marketing and/or cross-selling of the financial products and services provided by the Company and/or any of its direct or indirect holding companies, subsidiaries of such holding companies or affiliated companies (the "Group") as stated under Paragraph 4 hereinbelow.

保存有關資料，以符合本港所制訂有關證券交易的條例及附屬規例、證券及期貨事務監察委員會（“證監會”）的守則，以及香港聯合交易所有限公司（“聯交所”）、香港中央結算有限公司（“中央結算”）的規則及規例；及在以下第 4 段所述的直接促銷及／或交叉銷售本公司及／或其他任何聯繫公司（“本集團”）的財務及／或投資產品及服務。

#### 2. The Obligation to Provide Personal Data 提供個人資料的責任

It is obligatory for client to supply the personal data as required by the Company. If client fails to supply the required personal data, the Company may refuse to open or maintain the Account or may refuse to provide services to client.

客戶有責任向本公司提供所需的個人資料。如客戶未有提供所需個人資料，本公司可拒絕為客戶開立或持續操作帳戶或提供有關的服務。

When providing any personal data to the Company, please ensure that the data is accurate having regard to client's obligations under the Ordinance.

鑒於客戶在條例下的責任，當向本公司提供個人資料時，客戶須確認所提供的資料正確。

#### 3. Disclosure of Information 資料的披露

The Company may, as it deems necessary, disclose to its agents or nominees, associates, individuals or corporations dealing with securities, futures and options clearing and the Company's auditors such information as it requires to operate client's account or execute client's orders relating to the activities described in 1(b) above.

本公司如認為有需要，可向處理證券、期貨及期權結算的代理人或代名人、聯系入、個人或法團及本公司的核數師披露客戶開設帳戶的資料以運作客戶帳戶或執行上述 1 (b) 所提及的事宜。

In compliance with any statute and subsidiary legislation which are enacted and effective in HKSAR relating to securities business and transactions and also in compliance with the codes of SFC, the rules and regulations of the Exchange and the Clearing House, the personal data provided by client may be disclosed to the Exchange and the Clearing House, SFC and any financial regulator as defined in the Ordinance, government bodies, other regulatory authorities, individuals or corporations who have the right to such data and information as prescribed by law.

為符合本港所制定有關證券交易的條例及附屬規例，證監會的守則，以及聯交所及中央結算的規則，客戶所提供個人資料，本公司可向聯交所及中央結算，證監會及條例所界定的財經監管機構，根據法律有權查閱該等資料的政府部門，其他監管機構、個人或法團等披露。

#### 4. Use of Data In Direct Marketing 在直接促銷中使用資料

The Company intends to use the Client's data in direct marketing and the Company requires the Client's consent (which includes an indication of no objection) for that purpose. In this connection, please note that:

本公司擬把客人的資料用於直接促銷，而本公司為該用途須獲得客人同意（包括表示不反對）。就此，請注意：

the name, contact details, products and services portfolio information, transaction pattern and behavior, financial background and demographic data of the Client held by the Company from time to time may be used by the Company in direct marketing;

本公司將不時持有客戶的姓名、聯絡資料、財務背景及人口統計數據用於直接促銷；

the following classes of services, products and subjects may be marketed: financial, investment and related services and products;

可用作促銷下列類別的服務、產品及項目：財務、投資及相關服務與產品；

the above services, products and subjects may be provided or solicited by the Company and/or any other member of the Group; and

上述服務、產品及項目或會由本公司及／或任何其他本集團成員提供或徵求；及

in addition to marketing the above services, products and subjects itself, the Company also intends to provide the data described in paragraph (i) above to all or any of the persons described in paragraph (iii) above for use by them in marketing those services, products and subjects, and the Company requires the client's written consent (which includes an indication of no objection) for that purpose.

除促銷上述服務、產品及項目之外，本公司亦擬將以上(i)段所述的資料提供予以上(iii)段所述的全部或任何人士，以供該等人士用作促銷該等服務、產品及項目，而本公司為此用途須獲得客戶書面同意（包括表示不反對）。

If the Client does not wish the Company to use or provide to other persons his/her personal data for use in direct marketing as described above, the Client may exercise his/her opt-out right by notifying the Company at any time and without charge.

如客戶不欲本公司如上述將其資料用於或提供予其他人士作直接促銷用途，客戶可隨時通知本公司以行使其拒絕直接促銷的權利，此安排並不收取任何費用。

To opt-out from the Company using or providing the Client's data to other persons for use in direct marketing, please fill out the form in Appendix A and return it to the Company. The Client's request shall apply to all personal account(s) maintained by the Client at the Company.

若客戶不欲本公司將客戶的資料用於或提供予其他人士作直接促銷用途，客戶可填妥附錄甲的表格並交回該表格。此項要求適用於客戶在本公司開設的所有個人帳戶。

#### 5. Access to Personal Data/Opt-out for Direct Marketing 查閱個人資料／拒絕使用作直銷推廣

In accordance with the terms of the Ordinance, client may request access to the personal data supplied by client and may request the Company to correct any inaccurate data. The Company shall be entitled to charge a reasonable fee for processing of any data access request (such fee will be notified to the Client upon such request); and

根據條例的規定，客戶可向本公司要求查閱及更改不正確的個人資料。本公司有權向客戶收取合理費用以便處理有關要求(該費用將於客戶可向本公司要求時通知客戶)；及

The Client may opt out his/her personal data to be used for direct marketing at any time by giving notice and without charge to the Company and such notice shall take effect upon the expiry of 3 business days from the date of the Company's actual receipt for such notice

客戶可以隨時在不收費下通知本公司拒絕客戶的個人資料被用作直接促銷之用及該等通知生效日期為以本公司真正收到該等通知後之 3 個營業日起生效。

#### 6. Enquiries 查詢

Enquiries concerning the personal data provided by client to the Company, including the request for access and correction, should be addressed to:

如客戶對向本公司提供的個人資料有任何疑問，包括查閱及改正該等個人資料，可致函：

Data Protection Officer  
資料保護主任收

AMC Wanhai Securities Limited  
Head Office: Room 1605, West Tower, Shun Tak Centre, 168-200 Connaught Road, Central, Hong Kong  
總部地址：香港中環干諾道中 168-200 號信德中心西座 1605 室

Telephone No. 電話號碼： [ +852- 3706 7021 ]  
Fax No.: 傳真號碼： [ +852- 3706 5045 ]  
Email address 電郵地址： [ info@amcwanhai.com ]

(In case of discrepancies between the English and Chinese versions of this Statement, the English version shall prevail.)

(如本聲明中英文版本有任何歧義，概以英文版本為準。)

附錄甲  
(Applicable to Personal Client(s) only)  
(只適用於個人客戶)

**Direct Marketing- Consent/Opt Out Request Form**

**直接促銷 — 同意/拒絕要求表格**

**To: AMC Wanhai Securities Limited (“the Company”)**

**致：萬海證券有限公司（“貴公司”）**

**Opt-Out Request:**

**拒絕要求:**

- I/We **do not wish** the Company shall use my/our personal data for direct marketing as stipulated in Personal Information Collection Statement.
- 本人／吾等**不欲**貴公司將本人／吾等的個人資料根據個人資料收集聲明所載使用於直接促銷用途。
  
- I/We **do not wish** the Company to provide my/our personal data to any other persons for their use in direct marketing, whether or not such persons are members of the Group.
- 本人／吾等**不欲**貴公司將本人／吾等的個人資料提供予任何其他人士作直接促銷用途，不論該等人士是否**貴公司**集團成員。
  
- I/We expressly agree that the Company shall use my/our personal data for direct marketing as stipulated in Personal Information Collection Statement, but I/we **do not wish** to receive any direct marketing materials or messages from the Company via the following channel(s):
- 本人／吾等清楚同意**貴公司**將本人／吾等的個人資料根據個人資料收集聲明所載使用於直接促銷，但本人／吾等**不欲**收到**貴公司**經以下途徑發出的任何直接促銷資料或訊息：
  - E-mail, please provide Email Address(es): \_\_\_\_\_
  - 電郵，請提供電郵地址：\_\_\_\_\_
  
  - Mail, please provide Address(es): \_\_\_\_\_
  - 郵件，請提供地址：\_\_\_\_\_
  
  - SMS, please provide Mobile Phone number(s): \_\_\_\_\_
  - 短訊，請提供流動電話號碼：\_\_\_\_\_
  
  - Phone, please provide Phone number(s): \_\_\_\_\_
  - 電話，請提供電話號碼：\_\_\_\_\_
  
  - Others, please specify: \_\_\_\_\_
  - 其他，請說明：\_\_\_\_\_

I/We acknowledge that I/we have read the Personal Information Collection Statement and agreed to the terms in it. I /We understand and acknowledge that the Company intends to use my/our personal data for direct marketing and the Company may not so use my/our data unless the Company has received my/our consent to such intended use. **I/We expressly acknowledge, confirm and agree that unless I/we decide to opt out the use of my/our personal data for direct marketing as stated above or by giving notice to the Company at any time as stipulated in Personal Information Collection Statement, the Company shall use my/our personal data for direct marketing as stipulated in Personal Information Collection Statement by whatsoever channels.**

本人／吾等承認已詳閱於附表所載個人資料收集聲明，並完全同意其條款。本人／吾等明白及承認貴公司擬把本人／吾等的資料使用於直接促銷及貴公司須收到本人／吾等對該資料使用的同意，否則不得如此使用該資料。本人／吾等清楚明白、承認及同意除非本人／吾等決定如上所述或根據有關個人資料收集聲明所載隨時通知貴公司而拒絕該等使用，貴公司能將根據個人資料收集聲明所載使用本人／吾等的個人資料以任何途徑於直接促銷。

Signature(s) of Client

Client(s):

客戶簽署：

Date:

日期：

Full Name in Block Capitals:

姓名：

**The above options represent the Client's present choice of whether or not to receive direct marketing contact or information. This replaces any choice previously communicated by the Client to the Company.** Please note that the Client's above choice applies to the direct marketing of the classes of products, services and/or subjects as set out in the Personal Information Collection Statement. Please also refer to the Personal Information Collection Statement on the kinds of personal data which may be used in direct marketing and the classes of persons to which the Client's personal data may be provided for them to use in direct marketing.

以上是閣下目前就是否接收直接促銷聯繫或資訊所作出的選擇，將取代閣下以往曾向貴公司表明的選擇。請注意，閣下的以上選擇適用於在關於個人資料收集聲明內列明的各類產品、服務及／或項目的直接促銷。此外，請參閱該客戶通知所述哪些個人資料可能會用於直接促銷，以及哪些人士可能會獲提供閣下的個人資料作直接促銷用途。