

## PERSONAL INFORMATION COLLECTION STATEMENT

### 個人資料收集聲明

1. In this Statement, references to customer include references to authorized persons, directors, shareholders or other representatives of customers of Rich Union Securities (H.K.) Limited (“RUSHK”).  
於本聲明中，凡提及「客戶」亦包括瑞元證券(香港)有限公司(下稱「RUSHK」)的客戶之獲授權代理人、董事、股東及其他客戶的代表。
2. From time to time, it is necessary for customers to supply RUSHK and its associated or affiliated companies with data in relation to the opening or maintenance of accounts and the establishment or maintenance of credit accommodation or provision of asset management and related services.  
客戶在開立、維持帳戶；及建立或維持財務融通；或要求提供資產管理及相關服務時，須要不時向 RUSHK 及其聯營及關聯公司提供資料。
3. RUSHK is unable to open or maintain accounts or establish or continue credit accommodation or provide the services referred to in clause 2 above in the event that customer fails to provide RUSHK with such data.  
若客戶未能向 RUSHK 提供此等資料，RUSHK 可能無法開立或維持帳戶；或建立或維持財務融通；或提供上文第 2 條款提述的服務。
4. In addition, data are collected from customers in the ordinary course of the continuing business relationship between customers and RUSHK.  
此外，在客戶與 RUSHK 的正常業務往來過程中，RUSHK 會收集客戶的資料。
5. Data relating to customers may be used (whether within or outside the Hong Kong Special Administrative Region (“Hong Kong”)) for the purposes as follows:  
關於客戶的資料可能會(不論在香港特別行政區(下稱「香港」)或香港以外)用於下列用途：
  - (i) the daily operation of the services and credit accommodation provided to customers;  
為客戶提供服務及財務融通的日常運作；
  - (ii) to conduct credit reference checks;  
進行信貸檢查；
  - (iii) to assist other financial institutions to conduct credit reference checks;  
協助其他金融機構進行信貸檢查；
  - (iv) to ensure ongoing credit worthiness of customers;  
確保客戶的信用維持良好；
  - (v) to design the services, products or facilities referred to in clause 2 above for customers’ use;  
設計上文第 2 條款提述的服務、產品或設施供客戶使用；
  - (vi) to promote or market the services, products and facilities referred to in clause 2 above (please see clause 8 below for details of the use or provision of personal data by RUSHK for direct marketing purposes);  
宣傳或營銷上文第 2 條款提述的服務、產品及設施(請參看以下第 8 條款，關於 RUSHK 使用或提供個人資料作直接促銷用途的詳情)；
  - (vii) to verify the amount of indebtedness owed to or by customers;  
審核 RUSHK 對客戶或客戶對 RUSHK 的債務；
  - (viii) to collect amounts outstanding from customers and those providing guarantee or security for customers’ obligations;  
向客戶及為客戶的義務提供擔保或抵押之人士追收欠款；
  - (ix) to comply with the disclosure requirements (whether legal or regulatory) applicable to or court orders binding on RUSHK;  
為遵守適用於 RUSHK 或對 RUSHK 具約束力之法庭命令的披露要求(不論是法律或監管要求)；

- (x) to company with the obligations, requirements or arrangements for disclosing and using data that apply to RUSHK or that it is required or expected to comply pursuant to:  
根據下列條文，需遵守；或被要求；或被期望履行適用於 RUSHK 有關披露及使用資料之責任、規定或安排：
- (1) any applicable law (including, without limitation, Foreign Account Tax Compliance Act, Automatic Exchange of Financial Account Information Agreement (if applicable)) binding or applying to it within or outside Hong Kong (whether present or future);  
不論於香港或境外對 RUSHK 具約束力或適用於 RUSHK 的任何目前或將來存在的適用法律(包括但不限於，海外帳戶稅收合規法案，自動交換財務帳戶資料協定)(如適用)；
  - (2) any guidelines, code of conducts, rules or guidance given or issued by any legal, regulatory, governmental, tax, law enforcement or other competent authorities, or self-regulatory or industry bodies or associations of financial services providers within or outside Hong Kong (whether present or future);  
不論於香港或境外及不論目前或將來存在的任何法律、監管、政府、稅務、執法或其他主管機關，或金融服務供應商的自律監管或行業組織或協會作出或發出的任何指引、操作準則、規則或指令；
  - (3) any present or future commitment (whether contractual or otherwise) with local or foreign legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations of financial services providers that is assumed by or imposed on RUSHK or by virtue of its commercial, financial, business or other interests or activities in or related to the jurisdiction of the relevant local or foreign legal, regulatory, governmental, tax, law enforcement or other competent authority, or self-regulatory or industry bodies or associations;  
RUSHK 因其位於或跟相關本地或外地的法律、監管、政府、稅務、執法或其他機關，或金融服務供應商的自律監管或行業組織或協會的司法管轄區有關的商業、金融、業務或其他利益或活動，而向該等本地或外地的法律、監管、政府、稅務、執法或其他機關，或金融服務供應商的自律監管或行業組織或協會承擔或施加的任何目前或將來的其他承諾(不論合約或其他承諾)；
- (xi) to adhere to any requirements, policies, procedures, measures or arrangements for sharing data and information within RUSHK and/or any other use of data and information in accordance with any group-wide programmes for the purpose of complying with sanctions or prevention or detection of money laundering, terrorist financing or other unlawful or illegal activities;  
遵循所有 RUSHK 內有關共享資料及資訊之所有規定、政策、程序、措施或安排及/或任何其他為任何群體根據制裁或預防或偵查洗錢、恐怖融資或其他非法或違法活動的規定而訂立有關使用資料及資訊之規定；
- (xii) to facilitate an actual or proposed assignee of RUSHK or actual/potential participant or sub-participant of its rights in respect of the customer for evaluating the transaction contemplated to be the subject of the assignment, participation or sub-participation; and  
促使 RUSHK 的實在或擬議關於客戶權益的受讓人，或實際/潛在參與人或附屬參與人對作為轉讓、參與或附屬參與項下擬議的交易作評估；及
- (xiii) purposes relating to any of the above.  
與上述任何一項有關的用途。
6. RUSHK is at liberty from time to time transfer customers' data outside of Hong Kong for any of the above purposes.  
RUSHK 有權不時將客戶的資料轉送至香港以外的地方作上述任何一項用途。
7. Data held by RUSHK relating to a customer will be kept confidential but RUSHK may provide such data to the following parties (whether within or outside Hong Kong) for the purpose referred to in clause 5 above:  
RUSHK 會將關於客戶的資料予以保密，但 RUSHK 可能會把該等資料，以上文第 5 條款提述的目的，提

供予以下人士(不論在香港或香港以外)：

- (i) any agent, sub-agent, contractor, sub-contractor or third party service provider who provides administrative, telecommunications, computer, financial, trade execution, cash, securities and/or contracts clearing or settlement or other services to RUSHK in connection with the operation of its business;  
任何代理人、分代理人、承辦商、分承辦商或向 RUSHK 提供與 RUSHK 的業務運作有關的管理、電訊、電腦、金融投資、執行交易服務或現金、證券及/或合約結算或交收服務或其他服務的第三方服務提供者；
- (ii) any other person under a duty of confidentiality to RUSHK including but not limited to any member of the RUSHK which has undertaken to keep such information confidential;  
任何對 RUSHK 有保密責任的人，包括但不限於已承諾把該等資料保密的任何 RUSHK 集團成員；
- (iii) any financial institution, intermediary, custodian or dealer with which the customer has or proposes to have dealings;  
任何與客戶已有或建議有交易往來的金融機構、中介人、託管人或交易商；
- (iv) any credit reference agency and in case of default, any debt collection agency;  
任何信貸資料服務機構及於欠帳時給予收數公司；
- (v) any actual or proposed assignee of RUSHK or participant or sub-participant or transferee of its rights in respect of the customers;  
任何 RUSHK 的實在或擬議的關於客戶權益的受讓人或參與人或附屬參與人；
- (vi) any person providing or proposing to provide guarantee or security for customers' obligations; and  
任何為客戶的責任提供或建議提供擔保或抵押的人士；及
- (vii) any person to whom RUSHK is under an obligation or otherwise to make disclosure as required under any law binding on or applying to RUSHK, or any disclosure under and for the purposes of any guideline or guidance given or issued by any legal, regulatory, governmental, tax, law enforcement or other competent authorities, or self-regulatory or industry bodies or exchange or associations of financial services providers with which RUSHK is expected to comply, or any disclosure pursuant to any commitment (whether contractual or otherwise) of RUSHK with local or foreign legal, regulatory, governmental, tax, law enforcement or other competent authorities, or self-regulatory or industry bodies or exchange or associations of financial services providers, all of which may be within or outside Hong Kong as may be existing (whether present or future).  
任何 RUSHK 對其有義務或根據任何法律上具約束力或適用於 RUSHK 的要求而需向其作出披露的人；或根據或以其為目的之任何法律、監管、政府、稅務、執法或其他主管機關或金融服務供應商的自律監管或行業組織或交易所或協會作出或發出的指引或指令，而 RUSHK 據此被期望遵循而須作出的披露；或不論目前或將來 RUSHK 因本地或外地的法律、監管、政府、稅務、執法或其他主管機關，或金融服務供應商的自律監管或行業組織或交易所或協會的承諾(不論是合約或其他方面的承諾)而須作出的披露。

## **8. USE OF DATA IN DIRECT MARKETING 在直接促銷中使用資料**

8.1 RUSHK may from time to time use a customer's personal data in direct marketing with the customer's consent (which includes an indication of no objection) for that purpose. In this connection, please note that:  
在獲得客戶的同意(包括表示不反對)下，RUSHK 可能會把客戶的個人資料作於直接促銷。就此，請注意：

- (i) the customer's personal data which include the customer's name, telephone number, email address, correspondence or permanent address, account number, products and services portfolio information, transaction pattern, risk profile, financial background, investment objectives and dealing experience may be used by RUSHK in direct marketing;  
客戶的個人資料，包括客戶姓名、電話號碼、電郵地址、通訊或永久地址、帳戶號碼、產品及服務投資組合資訊、交易模式、風險屬性、財務背景、投資目標及交易經驗，均可能會被 RUSHK 使用於直接促銷；

- (ii) the following classes of services, products, facilities and marketing subjects may be marketed:  
以下類別的服務、產品、設施及推廣標的可用作促銷：
- (1) financial, commodities, derivatives, investment, financing, investor education and related services;  
金融、商品、衍生產品、投資、信貸、投資者教育及相關服務、產品及設施；
  - (2) reward, loyalty or privileges programmes and related services;  
獎賞、年資獎勵或優惠計劃及相關服務；
  - (3) services offered by business partners of any member of RUSHK providing any of the services referred to in clause 8(ii)(1) above; and  
由任何 RUSHK 成員的商業夥伴所提供的服務(該等商業夥伴為提供任何上文第 8(ii)(1) 條款提述的服務的供應商)；及
  - (4) donations and contributions for charitable and/or non-profit making purposes;  
為慈善及/或非牟利目的而作出之捐款及捐贈；
- (iii) the above services, products, facilities and marketing subjects may be provided or (in the case of donations and contributions) solicited by RUSHK and/or any of the following persons:  
上述服務、產品、設施及推廣標的可由 RUSHK 及/或任何下述各方提供或(就捐款及捐贈而言)徵求：
- (1) any member of RUSHK;  
任何 RUSHK 集團之成員；
  - (2) third party institutions and providers of any of the services referred to in clause 8(ii)(1) above;  
第三方機構及提供任何上文第 8(ii)(1) 條款提述的服務的供應商；
  - (3) business partners of any member of RUSHK providing any of the services referred to in clause 8(ii)(1) above; and  
任何 RUSHK 成員的商業夥伴(該等商業夥伴為提供任何上文第 8(ii)(1) 條款提述的服務)；及
  - (4) charitable or non-profit making organizations;  
慈善或非牟利組織；
- (iv) RUSHK may, with the customer's written consent (which includes an indication of no objection), also provide the personal data described in clause 8(i) above to any of the persons referred to in clause 8(iii) above for use by any of them in direct marketing of the services, products, facilities and marketing subjects referred to in clause 8(ii) above. RUSHK may so provide the personal data to such persons for direct marketing purposes for gain.  
在獲得客戶的書面同意(包括表示不反對)下，RUSHK 亦可能會把上文第 8(i) 條款提述的個人資料提供予上文第 8(iii) 條款提述的任何人士，以供該等人士在其直接促銷上文第 8(ii) 條款提述的服務、產品及設施時使用。RUSHK 可能會為得益而向該等人士提供個人資料，以供該等人士用於直接促銷。
- (v) If a customer wishes RUSHK to cease to use and provide his/her personal data to other persons for use in direct marketing, the customer may notify RUSHK Data Protection Officer in writing by mailing or faxing the written notification to the postal address or fax number provided in clause 11 below. RUSHK shall then cease to use and provide his/her personal data for direct marketing purposes without any charge.  
如客戶希望 RUSHK 停止使用客戶的個人資料及提供予其他人士作直接促銷用途，客戶可以規定的方式通知 RUSHK 資料保護專員，其郵寄地址及傳真號碼載於下文第 11 條款。此後，RUSHK 必須停止使用及提供客戶的個人資料作直接促銷用途，費用全免。

9. Pursuant to the terms of the Ordinance, an individual has the right to:  
根據私隱條例的條款，任何個人有權：

- (i) check whether RUSHK holds data about him/her and the right of access to such data;  
查 RUSHK 是否持有客戶的資料及查閱有關的資料；
- (ii) require RUSHK to correct any data relating to him/her which is inaccurate; and  
要 RUSHK 更正與該人士有關而不正確的資料；
- (iii) ascertain RUSHK's policies and practices in relation to data and to be informed of the kind of personal data held by RUSHK.  
查悉 RUSHK 對處理資料的政策與實務及 RUSHK 所持有的個人資料的種類。

10. Under the terms of the Ordinance, RUSHK is entitled to charge a reasonable fee for the processing of any data access request.

根據私隱條例的規定，RUSHK 有權就處理任何查閱資料的要求收取合理費用。

11. The person to whom requests for ceasing to use of personal data in direct marketing, access to data, correction of data or information regarding policies and practices and kinds of data held are to be addressed as follows:

如欲要求停止使用客戶的個人資料作直接促銷用途或查詢或更正資料或查詢有關政策、慣例及資料的種類，請向以下人士提出：

The Data Protection Officer 資料保護專員

Rich Union Securities (H.K.) Limited

瑞元證券(香港)有限公司

Suites 2003-4, Li Po Chun Chambers, 189 Des Voeux Road Central, Central, Hong Kong.

香港中環德輔道中 189 號李寶椿大廈 2003-4 室

Tel.電話： (852) 21034611

Fax.傳真： (852) 25371083

12. This Statement may be revised, amended or supplemented from time to time by RUSHK. The most up-to-date statement can be found in RUSHK's website at [<http://www.yamasia.com/>] or available from RUSHK upon written request.

RUSHK 可對本聲明不時作出修改、修訂或補充。最新版本的聲明可於 RUSHK 之網站 [<http://www.yamasia.com/>]取覽或以書面方式向 RUSHK 索取。

13. In case of discrepancies between the English and Chinese versions of this statement, the English version shall prevail.

如本聲明的中英文版本有任何歧義，概以英文版本為準。