

HSBC Broking Services (Asia) Limited 滙豐金融服務（亞洲）有限公司
HSBC Broking Forex (Asia) Limited 滙豐金融外匯（亞洲）有限公司
HSBC Broking Futures (Asia) Limited 滙豐金融期貨（亞洲）有限公司
HSBC Broking Securities (Asia) Limited 滙豐金融證券（亞洲）有限公司
(Collectively “HSBC Broking Companies”) (統稱「滙豐金融公司」)

**Circular to Customers relating to the Personal Data
(Privacy) Ordinance (“the Ordinance”)
關於個人資料（私穩）條例的客戶通知**

- (1) As customer of HSBC Broking Companies, it is necessary from time to time for you to supply your personal data to HSBC Broking Companies when opening or continuing accounts, or in the establishment, continuation or provision of investment, dealing or related services.
作為滙豐金融公司之客戶，當申請開立或延續戶口或建立、延續、或提供投資、交易或相關服務時，需不時向滙豐金融公司提供有關之個人資料。
- (2) Failure to supply data may result in HSBC Broking Companies being unable to open or continue accounts or establish, continue or provide investment, dealing or related services.
若未能向滙豐金融公司提供有關資料，將會導致滙豐金融公司無法開立或延續戶口或建立、延續或提供投資、交易或相關服務。
- (3) Your personal data (including the name, contact details and other personal particulars) may also be collected in the ordinary course of continuation of our business relationship.
閣下之個人資料（包括姓名，聯絡資料及其他個人資料）將可能在與滙豐金融公司的正常業務往來過程中被收集。
- (4) Your data may be used for the following:
閣下之資料將可能用於下列用途：
 - (a) the daily operation of the services provided to you;
為提供服務給閣下之日常運作；
 - (b) conducting identity and/or credit checks;
作身份及信貸檢查；
 - (c) assisting other persons or institutions to conduct credit checks;
協助其他人或財務機構作信貸檢查；
 - (d) ensuring your ongoing credit worthiness;
確保閣下之信用維持良好；
 - (e) designing investment, dealing or related services or products for your use;
為閣下設計投資、交易或相關服務或產品；
 - (f) marketing investment, dealing or related services or products;
宣傳投資、交易或相關服務或產品；

determining the amount of indebtedness owed to or by you;
確定滙豐金融公司對閣下或閣下對滙豐金融公司之債務；

supporting any statements made in any documents in connection with the services of HSBC Broking Companies;
支援滙豐金融公司在有關服務上作出之任何文件內之任何聲明；
 - (g) assisting other relevant parties, professionals, institutions or relevant regulatory authorities to verify certain facts in connection with the services of HSBC Broking Companies;
協助其他有關第三者、專業人員、機構及有關監管機構確認某些滙豐金融公司在有關服務上之事實；
 - (h) meeting the requirements to make disclosures under the requirements of any laws and/or regulations binding on HSBC Broking Companies or a member of the HSBC Group (eg the Inland Revenue Ordinance and its provisions including those concerning automatic exchange of financial account information) and for the purposes of any guidelines issued by regulatory or other authorities with which HSBC Broking Companies or a member company of the HSBC Group are expected to comply (eg guidelines issued by the Inland Revenue Department including those concerning automatic exchange of financial account information); and
根據滙豐金融公司或滙豐集團成員公司須遵守之有關法例及／或條例（例如《稅務條例》及其條文，包括關於自動交換財務賬戶資料的條文）要求作出披露或滙豐金融公司或滙豐集團成員公司須遵守監管或其他機構的指引要求作出披露（例如稅務局所提供或發出的指引，包括關於自動交換財務賬戶資料的指引）；及
 - (i) any purposes relating to any of the above.
與上述有關之用途。

- (5) Data held by HSBC Broking Companies relating to a customer will be kept confidential but HSBC Broking Companies may provide information to the following:
滙豐金融公司會把客戶的資料保密，但滙豐金融公司可能會把有關資料提供給：
- (a) any agent or third party service provider who provides services to HSBC Broking Companies in connection with the operation of its business;
任何中間人，或提供與滙豐金融公司業務運作有關服務之第三者服務供應人；
 - (b) an appropriate person under a duty of confidentiality to HSBC Broking Companies including a member company of the HSBC Group which has undertaken to keep such information confidential;
任何對滙豐金融公司有保密責任之適當人仕，包括對滙豐金融公司有保密資料承諾的滙豐集團成員公司；
 - (c) any person or institution with which you have or propose to have dealings;
任何與閣下已有或建議有交易之人仕及機構；
 - (d) any legal, regulatory, governmental, tax, law enforcement or other authorities or exchanges which relate to or govern any business of HSBC Broking Companies; and
任何管治或與滙豐金融公司業務有關的法律、監管、政府、稅務、執法或其他機構或交易所；及
 - (e) any of HSBC Broking Companies' actual or proposed assignee or participant or sub-participant or transferee.
任何滙豐金融公司之實在或建議受讓人或參與人或附屬參與人或受讓人。

Such information may be transferred to a place outside Hong Kong.
有關資料或被轉移至香港境外。

- (6) In accordance with the terms of the Ordinance, any individual has the right to:
根據條例中之條款，任何人有權：
- (a) check whether HSBC Broking Companies holds data about him/her and access to such data;
審查滙豐金融公司是否持有他／她的資料及查閱有關之資料；
 - (b) require HSBC Broking Companies to correct any data relating to him/her which is inaccurate;
要求滙豐金融公司改正有關他／她不準確之資料；及
 - (c) ascertain HSBC Broking Companies' policies and practices in relation to data and be informed of the kind of personal data held by HSBC Broking Companies; and
查悉滙豐金融公司對於資料之政策及實際運用及被通知滙豐金融公司持有何種個人資料；及
 - (d) to opt out of the receipt of future marketing information and request us not to use his/her personal data for direct marketing purposes.
選擇日後不接收任何直接銷售信息及不希望他／她的個人資料被滙豐金融公司用作直接銷售用途。

If a customer does not wish HSBC Broking Companies to use or provide to other persons his data for use in direct marketing, the customer may exercise his opt-out right by notifying HSBC Broking Companies.

如客戶不希望滙豐金融公司如上述使用其資料或將其資料提供予其他人士作直接促銷用途，客戶可通知滙豐金融公司行使其選擇權拒絕促銷。

- (7) Nothing in this Notice shall limit the rights of customers under the Personal Data (Privacy) Ordinance.
本通知不會限制客戶在個人資料（私隱）條例下所享有的權利。
- (8) In accordance with the Ordinance, HSBC Broking Companies has the right to charge a reasonable fee for the processing of any data access request. All requests for access to data or correction of data (when customer considers that his/her personal data, supplied by HSBC Broking Companies following a data access request, are inaccurate) or for information regarding policies and practices and kinds of data held should be addressed as follows:
根據條例規定，滙豐金融公司有權就處理任何查閱資料之要求收取合理費用，任何關於資料查閱或改正資料（當客戶認為由滙豐金融公司所提供有關他／她的資料不準確時）或關於資料政策及實際應用或資料種類之要求，應向下列人仕提出：

The Data Protection Officer
HSBC Broking Services (Asia) Limited
Level 25, HSBC Main Building
1 Queen's Road Central
Hong Kong
資料保護主任
滙豐金融服務（亞洲）有限公司
香港皇后大道中 1 號
香港上海滙豐銀行總行大廈 25 樓

Telephone 電話：(852) 2521 1661
Facsimile 傳真：(852) 3409 2752

In case of discrepancies between the English and Chinese versions of this circular, the English version shall prevail.
中英文文本如有歧異，概以英文文本為準。