

Notice to Clients on the Personal Data (Privacy) Ordinance 個人資料(私隱)條例的客戶通知

From time to time, it is necessary for clients to supply Grand China Securities Limited ("Grand China Securities") with data in connection with the opening or continuation of accounts and the establishment or continuation of credit facilities. Failure to supply such data may result in Grand China Securities being unable to open or continue accounts or establish or continue credit facilities. It is also the case that data are collected from clients in the ordinary course of the continuation of the business relationship.

客戶在申請開立戶口、延續戶口及建立或延續財務信貸服務時，要不時向華業證券有限公司(“簡稱華業證券”)提供有關的資料。若未能向華業證券提供所需資料會導致華業證券無法開立或延續戶口或延續財務信貸服務。在客戶與華業證券的正常業務往來過程中，華業證券亦會收集客戶的資料。

The purposes for which data relating to a client may be used are as follows:

客戶的資料將可能會用於下列用途：

1. the daily operation of the services and margin facilities provided to clients;
為提供服務和信貸給客戶之日常運作；
2. conducting credit checks;
作信貸檢查；
3. assisting other financial institutions to conduct credit checks;
協助其他財務機構作信貸檢查；
4. ensuring ongoing credit worthiness of clients;
確保客戶良好的信用度；
5. designing financial services or related products for clients 'use;
為客戶制定財務服務或有關產品；
6. marketing financial services or related products;
宣傳財務服務或有關產品；
7. determining the amount of indebtedness owed to or by clients;
確定華業證券與客戶之間的債務；
8. collection of amounts outstanding from clients and those providing security for clients 'obligation;
向客戶及為客戶提供擔保或抵押的人士追收欠款；
9. meeting the requirements to make disclosure under the requirements of any legal and /or regulatory requirements or court orders binding on Grand China Securities; and
根據公司須遵守的規則、條例及法例要求作出披露；及
- 10.purposes relating thereto.
與上述有關的用途。

Data held by Grand China Securities relating to a client will be kept confidential but Grand China Securities may provide such information to:

華業證券會把客戶的資料保密，但華業證券可能會把有關資料提供給：

1. any agent, contractor or third party service provider who provides administrative, telecommunications, computer, payment or other services to Grand China Securities in connection with the operation of its business;
任何由中介人、承包商，或提供行政、電訊、電腦、支付或其他和華業證券業務運作有關服務的第三者服務供應者；
2. any other person under a duty of confidentiality to Grand China Securities including its related company, professional and agents who have undertaken to keep such information confidential;
任何對華業證券有保密責任的人，包括其聯營公司、專業人士及中介人；
3. any financial institution with which the client has or proposes to have dealings;
任何和客戶已有或建議交易的金融機構；
4. any actual or proposed assignee of Grand China Securities or participant or sub-participate or transferee of Grand China Securities' s rights in respect of the client; and/or
任何華業證券的實際或建議受讓人或參與人或附屬參與人或華業證券對客戶的權利的受讓人；及/或
5. any other governmental or regulatory authorities to which Grand China Securities is under a duty to disclose such data.
任何公司有責任披露該等資料之其他政府或規定之機構。

Grand China Securities Limited may charge a reasonable fee for processing such data access request.

華業證券有限公司有權處任何查閱資料的要求收取合理費用。

The person to whom requests for access to data or correction of data or for information regarding policies and practices and kinds of data held are to be addressed as follows: 任何關於資料查閱或修正，或關於資料政策及應用及其他要求，應向下列人士提出：

Compliance Department, Grand China Securities Limited, Unit 2005, 20/F, Sino Plaza, 255 Gloucester Road, Causeway Bay, HK

華業證券有限公司監察部，香港銅鑼灣告士打道 255 號信和廣場 20 樓 2005 室

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