

## 收集個人資料聲明 Personal Information Collection Statement

本聲明乃南方匯發根據香港特別行政區《個人資料(私隱)條例》(「私隱條例」)作出，目的是向資料當事人闡明收集個人資料的原因、用途和查詢個人資料記錄的途徑。

This Statement is made by CSSL in accordance with the Personal Data (Privacy) Ordinance of the Hong Kong Special Administrative Region ("the Ordinance"). The Statement is intended to notify data subjects of why personal data is collected, how it will be used and to whom data access requests are to be addressed.

- 資料當事人在申請開立戶口、延續戶口及建立或延續交易或信貸設施或要求南方匯發提供金融、證券、商品、衍生產品、投資、信貸、保險、強積金 / 職業退休計劃、財富管理、投資者教育及相關服務、產品及設施時，提供資料。  
From time to time, it is necessary for data subjects to supply CSSL with data in connection with the opening or continuation of accounts and the establishment or continuation of trading or credit facilities or provision of financial, securities, commodities, derivatives, investment, financing, insurance, MPF/ORSO, wealth management, investor education and related services, products and facilities.
- 若資料當事人未能向南方匯發提供有關資料，可能會導致南方匯發無法開立或延續戶口或建立或延續交易或信貸設施或提供上文第 1 條條款所述的服務、產品或設施。  
Failure to supply such data may result in CSSL being unable to open or continue accounts or establish or continue trading or credit facilities or provide the services, products or facilities mentioned in clause 1 above.
- 在資料當事人與南方匯發的正常業務往來過程中，南方匯發亦會收集資料當事人的資料。  
It is also the case that data are collected from data subjects in the ordinary course of the continuation of the business relationship between data subjects and CSSL.
- 資料當事人的資料可能會(無論在香港或香港以外)用於下列用途：  
The purposes for which data relating to data subjects maybe used (whether within or outside Hong Kong) are as follows:
  - 為資料當事人提供服務及設施之日常運作；  
The daily operation of the services and facilities provided to data subjects;
  - 作信貸檢查；  
conducting credit checks;
  - 協助其他金融機構作信貸檢查；  
assisting other financial institutions to conduct credit checks;
  - 確保資料當事人的信用維持良好；  
ensuring ongoing credit worthiness of data subjects;
  - 為資料當事人設計上文第 1 條條款所述的服務、產品或設施；  
designing the services, products or facilities mentioned in clause 1 above for data subjects' use;
  - 宣傳上文第 1 條條款所述的服務、產品及設施(有關南方匯發使用及提供個人資料作直接促銷用途的詳情載於下文第 6 條條款)；  
marketing the services, products and facilities mentioned in clause 1 above (details of the use or provision of personal data by CSSL for direct marketing purposes are set out in clause 6 below);
  - 確定南方匯發對資料當事人或資料當事人對南方匯發的債務；  
determining the amount of indebtedness owed to or by data subjects;
  - 向資料當事人及為資料當事人提供擔保或抵押的人士追收欠款；  
collection of amount outstanding from data subjects and those providing guarantee or security for data subjects' obligations;
  - 根據南方匯發須遵守的法律及 / 或監管要求或法庭命令作出披露；  
meeting the requirements to make disclosure under the requirements of any legal and/or regulatory requirements for court orders binding on CSSL;
  - 遵守任何適用的業界成規；及  
enabling CSSL to comply with any applicable industry practices; and
  - 與上述任何項目有關的其他用途。  
purposes relating to any of the above.
- 南方匯發會把資料當事人的相關資料保密，但南方匯發可能會把該等資料提供給以下人士(無論在香港或香港以外)：  
Data held by CSSL relating to a data subject will be kept confidential but CSSL may provide such data to the following parties (whether within or outside Hong Kong):
  - 任何代理人、承辦商或向南方匯發提供與南方匯發的業務運作有關的行政、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者服務供應商；  
Any agent, 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 CSSL in connection with the operation of its business;

- (ii) 任何對南方匯發有保密責任的人，包括但不限於已承諾把該等資料保密的任何南方證券集團成員；  
any other person under a duty of confidentiality to CSSL including but not limited to any member of the CSSL which has undertaken to keep such information confidential;
- (iii) 任何與資料當事人已有或建議有交易往來的金融機構或交易商；  
any financial institution or dealer with which the data subject has or proposes to have dealings;
- (iv) 任何信貸資料服務機構及於欠賬時給予收數公司；  
any credit reference agency and in the event of default, any debt collection agency;
- (v) 任何南方匯發的實在或建議受讓人或參與人或附屬參與人或南方匯發對資料當事人權利的受讓人；  
Any actual or proposed assignee of CSSL or participant or sub-participant or transferee of CSSL's rights in respect of the data subjects;
- (vi) 任何為資料當事人的責任提供或建議提供擔保或抵押的人士；及  
Any person providing or proposing to provide guarantee or security for a data subject's obligations; and
- (vii) 在南方匯發必須符合任何司法管轄區的有關法律、法庭指令或監管條例或規則的要求下：任何交易所、實體、代理人、監管或政府機構。通常在此情況下，南方匯發須要遵守保密責任而將不能通知資料當事人或在徵求資料當事人的同意後才向上述人士披露有關資料。  
Any exchange, entity, agency, regulatory or government body in any jurisdiction if required by law or pursuant to any court orders, rules or regulations to which CSSL is subject. In such cases, CSSL is usually under a duty of secrecy and will not be able to notify a data subject or seek his/her consent in relation to such release of information.

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

南方匯發有意，但只會在獲得資料當事人的同意（包括表示不反對）下，把資料當事人的個人資料用作於直接促銷。就此，請注意：  
CSSL intends to use but will only use a data subject's personal data in direct marketing with the data subject's consent (which includes an indication of no objection) for that purpose. In this connection, please note that:

- (i) 資料當事人的個人資料，例如：姓名、電話號碼、電郵地址、通信地址、賬戶號碼、產品及服務投資組合信息、交易模式及行為、財務背景及投資目標及經驗等，可能會被使用於直接促銷；  
The data subject's personal data subject's name, telephone number, email address, correspondence address, account number, products and services portfolio information, transaction pattern and behavior, risk profile, financial background and investment objectives and experience may be used by CSSL in direct marketing;
- (ii) 以下類別的服務、產品、設施及推廣標的可用作促銷：  
The following classes of services, products, facilities and marketing subjects may be marketed;
  - a. 金融、證券、商品、衍生產品、期貨、期權、投資、信貸、保險、強積金/職業退休計劃、財富管理、資產管理、投資者教育及相關顧問或其他服務、產品及設施；  
financial, securities, commodities, derivatives, futures, options, investment, financing, insurance, MPF/ORSO, wealth management, asset management, investor education and related advisory or other services, products and facilities;
  - b. 獎賞、年資獎勵或優惠計劃及相關服務、產品及設施；  
reward, loyalty or privileges programs and related services, products and facilities;
  - c. 由任何南方匯發集團成員的商業夥伴所提供的服務產品及設施(該等商業夥伴為提供任何上文第 6(ii)(a)條條款所述的服務、產品及設施的供應商)；及  
services, products and facilities offered by business partners of any member of CSSL providing any of the services, products and facilities referred to in clause 6(ii)(a) above; and
  - d. 為慈善及 / 或非牟利目的而作出之捐款及捐贈；  
donations and contributions for charitable and/or non-profit making purposes;
- (iii) 上述服務、產品、設施及推廣標的可由南方匯發及 / 或任何下述各方提供或 (就捐款及捐贈而言) 徵求：  
The above services, products, facilities and marketing subjects may be provided or (in the case of donations and contributions) solicited by CSSL and/or any of the following persons:
  - a. 任何南方匯發之成員；  
Any member of the CSSL group;
  - b. 第三方金融機構及提供任何上文第6(ii)(a)條條款所述的服務、產品及設施的供應商；  
third party financial institutions and providers of any of the services, products and facilities referred to in clause 6(ii)(a) above;
  - c. 第三方獎賞、年資獎勵、聯營或優惠計劃供應商；  
third party reward, loyalty, co-branding or privileges program providers;
  - d. 任何南方匯發集團成員的商業夥伴(該等商業夥伴為提供任何上文第6(ii)(a)條條款所述的服務、產品及設施的供應商)；及  
business partners of any member of CSSL providing any of the services, products and facilities referred to in clause 6(ii)(a) above; and
  - e. 慈善或非牟利組織；  
charitable or non-profit making organizations;

- (iv) 南方匯發有意，但只會在獲得資料當事人的書面同意（包括表示不反對）下，把上文第 6(ii)(a) 條條款所述的個人資料提供予上文第 6(iii)條條款所述的任何人士，以供該等人士在其直接促銷上文第 6(ii)條條款所述的服務、產品及設施時使用。南方匯發可能會為得益（不論是以收取費用、佣金、利益或其他形式）而向該等人士提供個人資料，以供該等人士用於直接促銷。

如資料當事人希望南方匯發停止使用資料當事人的個人資料及/或提供予其他人士作直接促銷用途，資料當事人可以書面方式通知南方匯發資料保護專員，其郵寄地址及傳真號碼載於下文第 11 條條款。此後，南方匯發必須停止使用及/或提供資料當事人的個人資料作直接促銷用途，費用全免。

CSSL intends to provide but will only provide the personal data described in clause 6(ii)(a) above to any of the persons referred to in clause 6(iii) above for use by any of them in direct marketing of the services, products, facilities and marketing subjects referred to in clause 6(ii) above with the data subject's written consent (which includes an indication of no objection). CSSL may provide the personal data to such persons for direct marketing purposes for gain (whether in the form of any fee, commission, benefit or otherwise).

If a data subject wishes CSSL to cease to use his/her personal data and/or provide it to other persons for use in direct marketing, the data subject may notify CSSL in writing by mailing or faxing the written notification to the postal address or fax number provided in clause 11 below. CSSL Hong Kong shall then cease to use and/or provide his/her personal data for direct marketing purposes without any charge.

7. 在若干情況下資料當事人可能透過電子途徑（例如互聯網或話音錄音系統）向南方匯發提供個人資料。儘管南方匯發已竭盡所能以確保其系統的保安及可靠性，基於電訊傳送可能出現多種不可預計的情況，電子通訊的可靠性可能受到影響。有見及此，資料當事人在利用電子媒介傳送個人資料時應倍加留意。

There may be instances where data subjects elect to provide personal information to CSSL through electronic means (such as Internet or voice recording system). Whilst CSSL generally uses best endeavors to maintain the security and integrity of its systems, due to many unpredictable traffic or other reasons, electronic communication may not be a reliable medium of communication. Data subjects should take heed of such weaknesses and communicate personal information through electronic devices with caution.

8. 資料當事人同意南方匯發可不時將資料當事人的個人資料轉至香港以外的地方作任何上述第 1 至第 6 條條款所述的任何用途。  
Data subjects agree that CSSL may from time to time transfer data subjects' personal data outside Hong Kong for any of the purposes stated in clauses 1 to 6 above.

9. 在符合私隱條例之條款情況下，任何個人有權：

Under and in accordance with the terms of the Ordinance an individual has the right to:

- (i) 查核南方匯發是否持有資料當事人的資料及查閱有關的資料；

Check whether CSSL holds data about him/her and the right of access to such data;

- (ii) 要求南方匯發更正與該人士有關而不準確的資料；及

require CSSL to correct any data relating to him/her which is inaccurate; and

- (iii) 查悉南方匯發對處理資料的政策與實務及南方匯發所持有的個人資料的種類。

As certain CSSL's policies and practices in relation to data and to be informed of the kind of personal data held by CSSL.

10. 根據私隱條例的規定，南方匯發有權就處理任何查閱資料的要求收取合理費用。

In accordance with the terms of the Ordinance, CSSL has the right to charge a reasonable fee for the processing of any data access request.

11. 如欲要求停止使用資料當事人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 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:

公司名稱 Company Name: 南方匯發證券有限公司 China Southern Securities Limited

公司地址 Company Address: 香港灣仔謝斐道 414-424 號中望商業中心 9 樓 A 室

Unit A, 9/F, Chinaweal Centre, 414-424 Jaffe Road, Wan Chai, Hong Kong

傳真 Fax: (852) 2561 3228

12. 南方匯發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南方匯發之網站 <http://www.chinasouthern.com.hk> 下載或以書面方式向南方匯發索取。本聲明(以及不時被修改、修訂或補充的聲明)的內容適用於所有的資料當事人，並構成不時對有關資料當事人與南方之間的關係具有約束力的條款及條件的一部分。

This Statement may be revised, amended or supplemented from time to time by CSSL. The most up-to-date statement can be found in CSSL's website at [www.chinasouthern.com.hk](http://www.chinasouthern.com.hk) or available from CSSL upon written request. The contents of this Statement (as revised, amended and supplemented from time to time) shall apply to all data subjects and form part of any terms and conditions governing the relationship between CSSL and the data subjects concerned from time to time.

如本聲明的中英文版本有任何歧義，概以英文版本為準。

If there is any inconsistency or ambiguity between the English and the Chinese version, the English version shall prevail.

### 客戶個人資料保障聲明 CUSTOMER'S DECLARATION FOR DATA PROTECTION

本人/吾等，下述簽署客戶/聯名客戶，已閱讀過及明白，並同意接受可不時被修改或補充的南方匯發收集個人資料聲明的條款（「該聲明」）。本人/吾等確認已收妥附上的該聲明副本及知悉最新版本的聲明可於南方匯發之網站 <http://www.chinasoutherngroup.net> 下載或以書面方式向南方匯發資料保護專員索取。

I/We, the undersigned, have read and understood and agree to accept the provisions of the Personal Information Collection Statement ("PICS") of CSSL as they may be amended or supplemented from time to time. I/We acknowledge receipt of a copy of the attached PICS and that the most up-to-date version of the PICS is available for download from CSSL's website at <http://www.chinasoutherngroup.net> or upon written request made to CSSL's Data Protection Officer.

請在以下空格加上「√」號

Please tick one of the boxes below:

- 本人/吾等同意南方匯發使用本人/吾等的個人資料於直接促銷金融、證券、商品、衍生產品、期貨、期權、投資、信貸、保險、強積金/職業退休計劃、財富管理、資產管理、投資者教育及相關顧問或其他服務、產品及設施、獎賞、年資獎勵或優惠計劃或慈善及/或非牟利目的而作出之捐款及捐贈。

I/We consent to the use of my/our personal data by CSSL in direct marketing for financial, securities, commodities, derivatives, futures, options, investment, financing, insurance, MPF/ORSO, wealth management, asset management, investor education and related advisory or other services, products and facilities, reward, loyalty or privileges programs or donations and contributions for charitable and/or non-profit making purposes.

- 本人/吾等不同意南方匯發使用本人/吾等的個人資料於直接促銷金融、證券、商品、衍生產品、期貨、期權、投資、信貸、保險、強積金/職業退休計劃、財富管理、資產管理、投資者教育及相關顧問或其他服務、產品及設施、獎賞、年資獎勵或優惠計劃或慈善及/或非牟利目的而作出之捐款及捐贈。

I/We do not consent to the use of my/our personal data by CSSL in direct marketing for financial, securities, commodities, derivatives, futures, options, investment, financing, insurance, MPF/ORSO, wealth management, asset management, investor education and related advisory or other services, products and facilities, reward, loyalty or privileges programs or donations and contributions for charitable and/or non-profit making purposes.

本文件乃「該聲明」的一部分。在本文件中使用的詞彙含義按該聲明的定義為準。

This document forms a part of the PICS. Terms used in this document shall have meanings as defined in the PICS.

如客戶在作出以上同意後，希望撤回同意，客戶可以書面方式通知南方匯發資料保護專員，其地址及傳真號碼如下。此後，南方匯發必須停止使用客戶的個人資料作直接促銷用途，費用全免。

If subsequent to giving the above consent, a customer wishes to withdraw his/her consent, the customer may send written notification to CSSL's Data Protection Officer by mail or fax to the address or fax number below. CSS shall then cease to use the customer's personal data indirect marketing without any charge.

公司名稱 Company Name : 南方匯發證券有限公司 China Southern Securities Limited  
公司地址 Company Address : 香港灣仔謝斐道 414-424 號中望商業中心 9 樓 A 室  
Unit A, 9/F, Chinaweal Centre, 414-424 Jaffe Road, Wan Chai, Hong Kong  
傳真 Fax : (852) 2561 3228

#### 客戶簽署 CLIENT SIGNATURE

個人或聯名賬戶第一持有人/公司賬戶獲授權人  
Individual or Primary Joint Account Holder / Authorized Person of Corporate Account

聯名賬戶第二持有人  
Secondary Joint Account Holder



名稱正楷 Print Name  
日期 (日/月/年)  
Date (DD/MM/YYYY)



名稱正楷 Print Name  
日期 (日/月/年)  
Date (DD/MM/YYYY)

#### 本公司專用欄 FOR OFFICIAL USE ONLY

Checked By	Input By	Approved By
Date:	Date:	Date:

Remark