

# Appendix

## Notes and explanation relating to the Personal Data (Privacy) Ordinance of Hong Kong

- a) I/We understand that I/we may have or may in future be requested to supply personal information from time to time to you relating to myself/ourselves, and in the carrying out of transactions contemplated under Securities Trading Agreement, further information shall or may be collected by you (all such information is referred to as "data" in this appendix).
- b) I/We understand that a request for data on the "Account Opening Information Form" or otherwise shall oblige me/us to complete the same, and any failure so to do may result in you being unable to open or continue the Account, or unable to effect transactions under the Account.
- c) I/We understand that you may provide data received from me/us to the following person:-
- (i) any other members of the Goldride Group;
  - (ii) any nominees in whose name Securities or other assets may be registered;
  - (iii) any contractor, agent or service provider which provides administrative, data processing, financial, computer, telecommunication, payment or Securities clearing, financial, professional or other services to you or to any other members of the Goldride Group or to any other person to whom data is passed;
  - (iv) any person with whom you enter into or propose to enter into transaction on my/our behalf or account, or persons representing the same;
  - (v) any assignee, transferee, participant, sub-participant, delegate, successor or person to whom this Agreement is novated; and
  - (vi) governmental, regulatory or other bodies or institutions, whether as required by law, regulations applicable to any other members of the Goldride Group, or otherwise.
- d) I/We understand that the purposes for which the data provided by me/us from time to time may be used are:-
- (i) giving effect to my/our orders relating to transactions or otherwise, and carrying out my/our other instructions;
  - (ii) providing services in connection with the Account, whether the services are provided by or through, any other members of the Goldride Group or any other person;
  - (iii) conduction credit enquiries or checks on me/us and ascertaining my/our financial situation and investment objectives, and enabling or assisting any other person so to do;
  - (iv) collecting of amounts due, enforcement of security, charge or other rights and interests in favour of any other members of the Goldride Group;
  - (v) marketing existing and future services or products, of any other members of the Goldride Group;
  - (vi) forming part of the records of the persons or members of the Goldride Group to whom the data may be passed;
  - (vii) observing any legal, regulatory or other requirements to which any other members of the Goldride Group or any other persons may be subject; and
  - (viii) other purposes related or incidental to any one or more of the above.
- e) I/We understand that I/we may request a copy of such data. I/We also understand that I/we may request the correction of the data. Any such request may be addressed to the Personal Data Officer of Goldride Securities Limited at Suite 3414-15, Jardine House, 1 Connaught Place, Hong Kong. I/We understand that a fee shall be charged by you for any such request.
- f) I/We understand that any other members of the Goldride Group may use the data and supply me/us with information about other services or products of any other members of the Goldride Group. I/We understand that, if I/we request, without charge to me/us, any other members of the Goldride Group to cease to use the data for such purpose, and if I/we so inform you in writing, the data shall be ceased to be so used.

Sign \_\_\_\_\_

Date \_\_\_\_\_

Client's Name:

Account No.:

## 附錄

### 有關香港個人資料〔私隱〕條例之附註及解釋

- (a) 本人/吾等明白本人/吾等可能需要或在日後可能被要求不時向 貴公司提供有關本人/吾等之個人資料，而 貴公司在進行根據證券交易合約所述之交易時，需要或可能收集其他資料（在本附錄內，所有該等資料均稱為「資料」）。
- (b) 本人/吾等明白獲取在「開戶資料表格」或其他文件上資料之要求應迫使本人/吾等填妥該等文件，而未能填妥該等文件可能導致 貴公司未能開設或持續使用賬戶，或未能透過賬戶進行交易。
- (c) 本人/吾等明白 貴公司可能向下列人士提供從本人/吾等所獲取之資料：
- (i) 金旭集團之任何其他成員公司；
  - (ii) 可能以其名義登記證券或其他資產之任何代表人；
  - (iii) 向 貴公司或金旭集團之任何成員公司或獲傳遞資料之任何其他人士提供行政、數據處理、財務、電腦、電訊、付款或證券結算、財務、專業或其他服務之任何承辦商、代理或服務供應商；
  - (iv) 代表或為本人/吾等與或擬與 貴公司進行交易之任何人士或該等人士之代表；
  - (v) 任何承讓人、受讓人、參與人、分參與人、代表、繼承人或在本地協議內作出更新之任何人士；及
  - (vi) 適用於金旭集團之任何成員公司之法例、規例或其他法規所規定之政府、監管或其他機構或機關。
- (d) 本人/吾等明白本人/吾等不時所提供之資料可用作下列目的：
- (i) 令本人/吾等就有關交易或其他事項所發出之指令生效，及執行本人/吾等之其他指示；
  - (ii) 就有關賬戶提供服務，無論該等服務是否由或透過金旭集團之任何成員公司或任何其他人士提供；
  - (iii) 為本人/吾等進行信貸查詢或調查及查明本人/吾等之財政狀況及投資目標及容許或協助任何其他人士進行上述事項；
  - (iv) 收取到期款項，向金旭集團之任何成員公司執行抵押、押記權或其他權利及權益；
  - (v) 為金旭集團之任何成員公司之現有及日後服務或產品進行市場推廣；
  - (vi) 組成可能獲傳遞資料之金旭集團之人士或成員公司之部份記錄；
  - (vii) 遵守可能規限金旭集團任何成員公司或任何其他人士之任何法定、監管或其他規定；及
  - (viii) 有關或附帶上述任何一項或多項目的之其他目的。
- (e) 本人/吾等明白本人/吾等可要求獲取一份該等資料之副本。本人/吾等亦明白本人/吾等可要求更改該等資料。任何該等要求可寄發予金旭證券有限公司之個人資料主任，地址為香港中環康樂廣場1號怡和大廈34樓3414-15室。本人/吾等明白 貴公司須就任何該等要求收取費用。
- (f) 本人/吾等明白金旭集團之任何成員公司均可使用該等資料及向本人/吾等提供有關金旭集團之任何成員公司之其他服務或產品。本人/吾等明白，倘本人/吾等提出要求，則金旭集團之任何成員公司均可停止使用該等資料作該等用途，本人/吾等毋須支付任何費用，及倘本人/吾等以書面向 貴公司作出上述通知，則該等資料須停止作上述用途。

簽署 \_\_\_\_\_  
客戶名稱：

日期 \_\_\_\_\_

賬號：

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