

## 關於個人資料收集的客戶通告

1. 客戶需不時地向天大證券有限公司及/或任何其附屬公司、控股公司或其各自之任何附屬公司、控股公司及聯營公司(如有)(統稱“集團”)提供與開立或維持戶口、確立或維持信用/保證金貸款融資服務或者提供證券經紀、期貨及期權交易、代名人服務、投資諮詢服務或其他金融服務有關的個人資料(定義見條例)及其他資料(合稱“資料”)。同時,有一部分資料是根據對集團或集團屬下任何其他公司有約束力的法律、規例、規則或守則的要求加以收集的。
2. 不提供上述資料可能會導致集團無法開立或維持戶口、確立或維持信用/保證金貸款融資服務、提供證券經紀、期貨及期權交易、代名人服務、投資諮詢服務或其他金融服務。
3. 所有資料均在正常業務聯繫維持期間向客戶收集。
4. 與客戶有關的資料可用於如下用途:
  - (a) 向客戶提供之服務和信用/保證金貸款融資服務的日常運作;
  - (b) 進行信用檢查;
  - (c) 協助其他金融機構進行信用檢查;
  - (d) 確保客戶持續有可靠的信貸償還能力;
  - (e) 設計金融服務或相關產品供客戶使用;
  - (f) 集團的一家成員向客戶發送直銷材料並進行與金融服務或相關產品有關的直接市場推廣活動;
  - (g) 確定客戶未付或應收債務款項之金額;
  - (h) 從客戶和為客戶責任提供擔保的人士收回虧欠的款項;
  - (i) 根據對集團或集團屬下任何其他公司有約束力的任何法律、規例、規則、守則履行披露義務;及
  - (j) 其他附帶及相關用途。
5. 集團持有與客戶有關的資料將予保密,但集團可在法律允許範圍內向下列香港境內外人士提供該等資料:
  - (a) 向集團提供與集團業務活動經營有關的管理、電訊、電腦、付款、證券期貨或期權結算、印刷或其他服務的任何代理人、合約商或者第三方服務提供者;
  - (b) (為向客戶發送直銷材料並進行直接市場推廣活動之目的)第三方金融服務或相關產品提供者;
  - (c) 集團的控股公司及屬下任何其他公司;
  - (d) 對集團(包括承諾為該等資料保密的集團屬下公司)負有保密義務的任何其他人士;
  - (e) 客戶與之有業務往來或即將有業務往來的任何金融機構;
  - (f) 集團的任何實際或擬議承讓人,或者與客戶相關的集團權益參與人或次參與人或受讓方;
  - (g) 對集團或集團屬下任何公司或集團的控股公司有約束力之法律要求我們必須向其作出披露的任何其他人士;
  - (h) 經客戶明示或默示同意的任何人士;
  - (i) 集團因本身利益需要對其作出披露的任何人士;及
  - (j) 因公眾利益而需要對其作出披露的任何人士。

在履行自身職責過程中,集團可在法律允許的範圍內,把客戶所提供的或集團其後為此目的或任何其他目的所獲得的任何個人資料與香港及海外的政府機構、其他監管機關、公司、組織或個人所持的資料進行配對、比較、轉換或交換,以便核實該等資料。

6. 根據該條例之條款，任何個人均：
  - (a) 有權查詢集團是否持有有關他/她的資料並有權查閱該等資料；
  - (b) 有權要求集團更正任何有關他/她的不正確資料；及
  - (c) 有權查詢集團有關的政策和做法，並被告知集團所持個人資料的種類。
7. 根據該條例之條款，集團有權就任何資料查詢要求的處理收取合理的費用。
8. 如欲要求停止使用客戶的個人資料作直接市場推廣用途或查詢、更正資料或查詢有關政策和做法及資料的種類，請向下列人士提出：

天大証券有限公司 — 香港中環添美道 1 號中信大廈 24 樓（合規主任收）
9. 本通告任何內容均不限制客戶在該條例項下的權利。
10. 本通告一經客戶收悉即被視為客戶已經或擬將與集團簽訂的所有合約、協議、信用/保證金貸款融資協議函、戶口授權書及其他有約束力安排的組成部分。
11. 集團可按其全權酌情決定經向客戶發送書面通知後修訂、修正或更改本通告。所作修訂、修正或更改應在該通知日期起 7 個營業日後生效（或更短期限如該等修改是因超出集團合理控制範圍的事件、情形或原因而有必要或需要進行）。



## **CIRCULAR TO CLIENTS RELATING TO PERSONAL DATA COLLECTION**

1. From time to time, it is necessary for clients to supply to Tianda Securities Limited, and/or any of its subsidiaries, holding companies or their respective subsidiaries, holding companies and associated companies (if any) (collectively the “**Group**”) with personal data (as defined in the Ordinance) and other data (collectively, “**data**”) in connection with the opening or continuation of accounts and the establishment or continuation of credit/margin facilities or provision of securities brokerage, futures and options trading, nominee service, investment advisory service or other financial services. At the same time, some of the data are collected pursuant to laws, regulations, rules or codes binding on the Group or any other companies of the Group.
2. Failure to supply such data may result in the Group being unable to open or continue accounts or establish or continue credit/margin facilities or provide securities brokerage, futures and options trading, nominee service, investment advisory service or other financial services.
3. It is also the case that data are collected from clients in the ordinary course of the continuation of the business relationship.
4. The purposes for which data relating to a client may be used are as follows:
  - (a) the daily operation of the services and credit/margin facilities provided to clients;
  - (b) conducting credit checks;
  - (c) assisting other financial institutions to conduct credit checks;
  - (d) ensuring ongoing credit worthiness of clients;
  - (e) designing financial services or related products for clients’ use;
  - (f) sending clients promotional materials and conducting direct marketing in relation to financial services or related products by a member of the Group;
  - (g) determining the amount of indebtedness owed to or by clients;
  - (h) collection of amount outstanding from clients and those providing security for clients’ obligations;
  - (i) meeting the requirements to make disclosure under the requirements of any laws, regulations, rules, codes binding on the Group or any other companies of the Group; and
  - (j) purposes ancillary or relating thereto.
5. Data held by the Group relating to a client will be kept confidential but the Group may provide such information to the following parties within or outside Hong Kong to the extent permitted by law:
  - (a) any agent, contractor or third party service provider who provides administrative, telecommunications, computer, payment, securities futures or options clearing, printing or other services to the Group in connection with the operation of its business;
  - (b) third party providers of financial services or related products for the purpose of sending clients promotional materials and conducting direct marketing;
  - (c) the holding company and any other companies of the Group;
  - (d) any other person under a duty of confidentiality to the Group including a company of the Group which has undertaken to keep such information confidential;
  - (e) any financial institution with which the client has or proposes to have dealings;
  - (f) any actual or proposed assignee of the Group or participant or sub-participant or transferee of the Group’s rights in respect of the client;
  - (g) any other person when we are compelled to make disclosure under the requirements of any laws binding on the Group, any of the companies of the Group or the holding company of the Group;



- (h) any person with the client's express or implied consent;
- (i) any person where our interests require disclosure; and
- (j) any person where the public interest requires disclosure.

In the course of performing our duties, the Group may, as permitted by law, match, compare, transfer or exchange any personal data provided by the client, or hereafter obtained, for these or any other purposes by the Group, with data held by government bodies, other regulatory authorities, corporations, organisations or individuals in Hong Kong or overseas for the purpose of verifying those data.

6. Under and in accordance with the terms of the Ordinance, any individual:
  - (a) has the right to check whether the Group holds data about him/her and the right of access to such data;
  - (b) has the right to require the Group to correct any data relating to him/her which is inaccurate;
  - (c) has the right to ascertain the Group's policies and practices in relation to data and to be informed of the kind of personal data held by the Group.
7. In accordance with the terms of the Ordinance, the Group has the right to charge a reasonable fee for the processing of any data access request.
8. The person to whom requests for ceasing to use of personal data in direct marketing, 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:  
  
Tianda Securities Limited - Level 24, CITIC Tower, No.1 Tim Mei Avenue, Central, Hong Kong (Attention to Compliance Officer)
9. Nothing in this Circular shall limit the rights of clients under the Ordinance.
10. This Circular shall upon receipt by a client, be deemed an integral part of all contracts, agreements, credit/margin facility letters, account mandates, and other binding arrangements which the client has entered into or intends to enter into with the Group.
11. The Group may, in its absolute and sole discretion, amend, modify or vary this Circular by giving the clients written notice. Such amendment, modification or variation shall take effect 7 Business Days (or a shorter period if such change is necessary or required due to events, circumstances or reasons beyond the Group's reasonable control) from the date of such notice.