

To: Hong Kong Exchanges and Clearing Limited ("HKEX")  
致: 香港交易及結算所有限公司 ("香港交易所")

**Notes**  
**注意事項**

- Please read carefully all the information provided in this form and relevant [Explanatory Notes on Client Connect Delegated Administrator \(CCDA\) Functions](#) before completion.  
於填寫此表格時，請細閱在此表格內的所有資料及其相關[管理人士功能說明文件](#)。
- The form may be typewritten or legibly handwritten. Upon completion, please sign and date the form.  
此表格可用機印或正楷填寫。填妥表格後，請寫上申請日期，並加以簽署。
- If an applicant has multiple Identities as referred to in Part II, please tick the appropriate boxes and fill in the required information using the same form for the applicable Identities and provide all applicable signature(s) in Part III.  
倘若申請人擁有多個第二部分所述的身份，請申請人在適當方格內加上☑號，並將其適用身份的所需資料填入同一張表格及在第三部分提供所有相關及適用的簽署。
- For first time application to be a Client Connect user, please submit the completed form by post to Client Services - Client Portal Support ("CPS"), Hong Kong Exchanges and Clearing Limited at 6/F, Two Exchange Square, 8 Connaught Place, Central, Hong Kong and **indicate "CCDA Form" on the envelope**.  
如首次申請為 Client Connect 用戶，請將填妥的表格郵寄至香港交易所 – CPS，地址為香港中環康樂廣場 8 號交易廣場 2 期 6 樓，信封上請註明 "CCDA Form"。
- FINI Delegated Administrator rights will be automatically granted to **first time HKSCC Participant applicants** according to the information provided in Part II. Application is required for subsequent maintenance.  
FINI 管理人士權限將按照第二部分所提供之資料自動授予首次申請之香港結算參與者，隨後之維護需提交申請表格。
- For subsequent application for additional Identity(ies), please submit the completed form by email to [cs\\_cps\\_cc@hkex.com.hk](mailto:cs_cps_cc@hkex.com.hk).  
隨後申請額外身份，請將填妥的表格電郵至 [cs\\_cps\\_cc@hkex.com.hk](mailto:cs_cps_cc@hkex.com.hk)。
- For subsequent application for addition, change and/or removal of Delegated Administrator(s), please submit application via [HKEX Access Management Portal](#).  
隨後申請額外身份，或隨後添加 / 更改 / 刪除管理人士，請利用 [HKEX Access Management Portal](#) 提交申請。
- In general, HKEX will process the duly completed form within 5 working days. CCDA will receive email notification upon account creation.  
一般而言，香港交易所會在 5 個工作日內處理已完整填妥的表格。當完成賬戶設立後，有關管理人士將收到電郵通知。
- For enquiry, please contact CCASS hotline: 2979 7111  
如有任何查詢，請致電 CCASS 熱線電話：2979 7111

**Part I – Applicant's Details**

**第一部分 – 申請人詳情**

Name of Applicant (Company Name) 申請人名稱 (公司名稱)	in English) (英文)		
	(in Chinese) (中文)		
Contact Person 聯絡人姓名			
Tel. No. 聯絡人電話		Email Address 電郵地址	

## Part II – Client Connect Delegated Administrator (CCDA) Rights Application / Maintenance

### 第二部分 – 管理人士權限申請／維護

Please appoint at least 2 CCDAs to act respectively as a maker (who will be responsible for creating and maintaining users' profile) and a checker (who is responsible for approving any user's profile created or changed by a maker) to maintain applicant's user profile. An applicant may, at the maximum, appoint 4 individuals to act simultaneously as makers and checkers. Under exceptional circumstances, HKEX may, at its discretion, allow an applicant to appoint more than 4 individuals to act as CCDAs.

請委派最少 2 名管理人士分別作為輸入者（負責輸入或更改使用者資料）及核對者（負責核對輸入者所輸入或更改使用者資料），以維護申請人的使用者資料。申請人最多可委派 4 名個別人士同時作為輸入者及核對者。於例外情況下，香港交易所可批准申請人委派 4 名以上個別人士作為管理人士。

Please select all applicable identities ☒ and fill in corresponding ID/code 請選擇所有適用的身份 ☒ 及填上對應之編號/代號

A: List of Identities 甲部: 身份列表						
<input type="checkbox"/>	1	HKSCC Participant 香港結算參與者	CCASS Participant ID: 結算參與者編號:	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/>	2	HKSCC Designated Bank 香港結算指定銀行	Bank ID: 銀行編號:	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/>	3	HKCC Participant 期貨結算所參與者	DCASS Customer Code: DCASS 編號:	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/>	4	SEOCH Participant 聯交所期權結算所參與者	DCASS Customer Code: DCASS 編號:	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/>	5	SEHK Participant 聯交所參與者	Participant ID: 參與者編號:	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/>	6	Options Exchange Participant of SEHK 聯交所期權交易所參與者	HKATS Customer Code: HKATS 代號:	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/>	7	HKFE Participant 期交所參與者	HKATS Customer Code: HKATS 代號:	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/>	8	Market Data Vendor/End User/Application Service Provider 市場資訊供應商/內部使用者/應用服務供應商				
<input type="checkbox"/>	9	Hosting Services Subscriber 設備託管服務用戶	Subscriber Code: 用戶編號:	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/>	10	Others (N/A to those under Categories 1 to 9 above) 其他（不適用於以上第 1 至 9 類別的參與者）				
<input type="checkbox"/>	(i)	Market Data Independent Software Vendor 市場數據獨立軟體供應商				
<input type="checkbox"/>	(ii)	Vendor provides BSS in Securities Market/China Connect Market 證券市場/中華通市場經紀自設系統供應商				
<input type="checkbox"/>	(iii)	System Vendor (Derivatives Trading) 系統供應商（衍生產品交易）				
<input type="checkbox"/>	(iv)	Master SPSA Holder SPSA 集中管理帳號持有人				
<input type="checkbox"/>	(v)	Share Registrar 股份過戶登記分處				
<input type="checkbox"/>	(vi)	System Vendor (Derivatives Clearing) 系統供應商（衍生產品結算）				
B: CCDA Application / Maintenance 乙部: 管理人士權限申請 / 維護						
Request Type 處理事項	Identities 身份 <sup>1</sup>	Surname 姓氏	Other Name 名字	Corporate Email Address 公司電郵地址 <sup>2</sup>	Telephone Number 電話號碼 <sup>3</sup>	Role 職責 <sup>4</sup>
<input type="checkbox"/> Add User	<input type="checkbox"/> 1 <input type="checkbox"/> 4 <input type="checkbox"/> 7 <input type="checkbox"/> 10					<input type="checkbox"/> M
<input type="checkbox"/> Change Existing User	<input type="checkbox"/> 2 <input type="checkbox"/> 5 <input type="checkbox"/> 8					<input type="checkbox"/> C
<input type="checkbox"/> Delete User	<input type="checkbox"/> 3 <input type="checkbox"/> 6 <input type="checkbox"/> 9					<input type="checkbox"/> B
<input type="checkbox"/> Add User	<input type="checkbox"/> 1 <input type="checkbox"/> 4 <input type="checkbox"/> 7 <input type="checkbox"/> 10					<input type="checkbox"/> M
<input type="checkbox"/> Change Existing User	<input type="checkbox"/> 2 <input type="checkbox"/> 5 <input type="checkbox"/> 8					<input type="checkbox"/> C
<input type="checkbox"/> Delete User	<input type="checkbox"/> 3 <input type="checkbox"/> 6 <input type="checkbox"/> 9					<input type="checkbox"/> B
<input type="checkbox"/> Add User	<input type="checkbox"/> 1 <input type="checkbox"/> 4 <input type="checkbox"/> 7 <input type="checkbox"/> 10					<input type="checkbox"/> M
<input type="checkbox"/> Change Existing User	<input type="checkbox"/> 2 <input type="checkbox"/> 5 <input type="checkbox"/> 8					<input type="checkbox"/> C
<input type="checkbox"/> Delete User	<input type="checkbox"/> 3 <input type="checkbox"/> 6 <input type="checkbox"/> 9					<input type="checkbox"/> B
<input type="checkbox"/> Add User	<input type="checkbox"/> 1 <input type="checkbox"/> 4 <input type="checkbox"/> 7 <input type="checkbox"/> 10					<input type="checkbox"/> M
<input type="checkbox"/> Change Existing Use	<input type="checkbox"/> 2 <input type="checkbox"/> 5 <input type="checkbox"/> 8					<input type="checkbox"/> C
<input type="checkbox"/> Delete User	<input type="checkbox"/> 3 <input type="checkbox"/> 6 <input type="checkbox"/> 9					<input type="checkbox"/> B

#### Remarks 備註:

- Please choose from the list of identities. 請從上列身份列表選擇。
- Please ensure the email address is entered correctly as the email address will become a Client Connect login username, and service notifications will be sent to this email address. **For security reasons, please provide your corporate email address.**  
閣下提供的電郵地址將成為 Client Connect 的使用者登入名稱且服務通知將寄至該電郵地址，因此請確保電郵地址輸入正確無誤。**基於保安理由，請提供閣下的公司電郵地址。**
- Please note that the telephone number is required as authentication for password reset. 請留意在重新設定密碼時，需使用此電話號碼作認證。
- Please select role 請選擇職責：  
 'M' — Maker 輸入者  
 'C' — Checker 核對者  
 'B' — both maker and checker 輸入者及核對者

Please note that an individual who acts as both maker and checker cannot approve actions initiated by himself / herself. If only 2 individuals are appointed to act as CCDAs, please ensure that they are both makers and checkers (B); or at least one maker (M) and one checker (C).

請留意，(B) 管理人士可以是輸入者或核對者，但該管理人士不能批核由自己輸入的要求。倘若只委任兩名管理人士，請確保兩人都是輸入者及核對者 (B); 或最少有一名輸入者 (M) 及一名核對者 (C)。

### Part III – Declaration

#### 第三部分 – 聲明

To: Hong Kong Securities Clearing Company Limited (“HKSCC”), HKFE Clearing Corporation Limited (“HKCC”), The SEHK Options Clearing House Limited (“SEOH”), The Stock Exchange of Hong Kong Limited (“SEHK”), Hong Kong Futures Exchange Limited (“HKFE”), HKEX Information Services Limited (“HKEX-IS”), HKEX Hosting Services Limited (“HKEX-HS”) and/or Hong Kong Exchanges and Clearing Limited (“HKEX”) (as the case maybe)

致：香港中央結算有限公司（“香港結算”）、香港期貨結算有限公司（“期貨結算所”）、香港聯合交易所期權結算所有限公司（“聯交所期權結算所”）、香港聯合交易所有限公司（“聯交所”）、香港期貨交易所有限公司（“期交所”）、香港交易所資訊服務有限公司、香港交易所設備託管服務有限公司及/或香港交易及結算所有限公司（“香港交易所”）（視屬何情況而定）

We,

本公司，

Name of Applicant (Company Name) 申請人名稱（公司名稱）

- 1. understand** that Client Connect will be provided subject to certain terms and conditions as published at <https://connect.hkex.com.hk> which may be changed or supplemented from time to time (“Service Terms and Conditions”);  
明白 Client Connect 所提供的服務受發佈於 <https://connect.hkex.com.hk> 不時修訂或補充的服務條款及條件約束；
- 2. undertake** to review the Service Terms and Conditions from time to time and **agree** that our use of Client Connect shall be regarded as our acceptance of, and agreement to be bound by, the Service Terms and Conditions;  
承諾本公司已閱讀並同意遵守 Client Connect 的服務條款及條件及同意使用 Client Connect 即表示本公司同意並接受 Client Connect 不時修訂的服務條款及條件約束；
- 3. consent** that HKSCC, HKCC, SEOH, SEHK, HKFE, HKEX-IS and HKEX-HS, any recognized exchange controller which is the controller of HKSCC, HKCC, SEOH, SEHK, HKFE, HKEX-IS and HKEX-HS, and any company of which a recognized exchange controller which is controller of HKSCC, HKCC, SEOH, SEHK, HKFE, HKEX-IS and HKEX-HS, is a controller may disclose information relating to us to the SFC, any exchange, clearing house and regulatory authority (whether within or outside Hong Kong);  
同意香港結算、期貨結算所、聯交所期權結算所、聯交所、期交所、香港交易所資訊服務有限公司、香港交易所設備託管服務有限公司、及作為香港結算、期貨結算所、聯交所期權結算所、聯交所、期交所、香港交易所資訊服務有限公司、香港交易所設備託管服務有限公司控制人的認可控制人又或任何作為香港結算、期貨結算所、聯交所期權結算所、聯交所、期交所、香港交易所資訊服務有限公司、香港交易所設備託管服務有限公司控制人的認可控制人為其控制人的公司，可將本公司的有關資料透露予證監會、其他交易所、結算所及監管機構（不論於香港境內或境外）；
- 4. consent** that HKSCC, HKCC, SEOH, SEHK, HKFE, HKEX-IS and HKEX-HS, HKEX as the case may be, may use and rely on any requests, instructions or information which our CCDAs or users of Client Connect may from time to time submit through Client Connect;  
同意香港結算、期貨結算所、聯交所期權結算所、聯交所、期交所、香港交易所資訊服務有限公司、香港交易所設備託管服務有限公司、香港交易所（視屬何情況而定）可使用及依據本公司管理人士或 Client Connect 使用者不時透過 Client Connect 呈交之要求、指示或資料；
- 5. agree** that should there be any conflicts between the English and Chinese languages of this form, the English language shall prevail; and  
同意如本表格中文本的字義或詞義與英文本有所出入，概以英文本為準；及
- 6. consent** to the processing of personal data in accordance with the Privacy Policy Statement appended to this form.  
同意按附於此表格所述的私隱政策聲明處理個人資料。

(1) HKSCC Participant 香港結算參與者:

Authorized Signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction)

授權人士簽署（連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分）

Name of Signatory(ies)

簽署人姓名

Date

日期

(2) HKSCC Designated Bank 香港結算指定銀行:

Authorized Signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction)

授權人士簽署（連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分）

Name of Signatory(ies)

簽署人姓名

Date

日期

(3) HKCC Participant 期貨結算所參與者:

Authorized Signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction)

授權人士簽署（連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分）

Name of Signatory(ies)

簽署人姓名

Date

日期

(4) SEOCH Participant 聯交所期權結算所參與者:

Authorized Signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction)

授權人士簽署（連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分）

Name of Signatory(ies)

簽署人姓名

Date

日期

(5) SEHK Participant 聯交所參與者:

Authorized Signature(s) (with company chop )

授權人士簽署（連同公司印鑑）

Name of Signatory(ies)

簽署人姓名

Responsible Officer  
負責人員

Position

職銜

Date

日期

(6) Options Exchange Participant of SEHK 聯交所期權交易所參與者:

Authorized Signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction)

授權人士簽署（連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分）

Name of Signatory(ies)

簽署人姓名

Responsible Officer  
負責人員

Position

職銜

Date

日期

(7) HKFE Participant 期交所參與者:

Authorized Signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction)

授權人士簽署（連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分）

Name of Signatory(ies)

簽署人姓名

Responsible Officer  
負責人員

Position

職銜

Date

日期

(8) Market Data Vendor / End User / Application Service Provider AND

市場資訊供應商 / 內部使用者 / 應用服務供應商 及

(10)(i) Market Data Independent Software Vendor

市場數據獨立軟體供應商

Registered Primary or Technical Contact Signature(s)

已登記的主要聯繫人或技術聯繫人簽署

Name of Signatory(ies)

簽署人姓名

Position

職銜

Date

日期

(9) Hosting Services Subscriber

設備託管服務用戶

Registered Primary Point of Contact Signature(s)

已登記的主要聯繫人簽署

Name of Signatory(ies)

簽署人姓名

Position

職銜

Date

日期

(10)(ii – vi) Others: Only applicable to applicants under Category 10(ii) to 10(vi)

其他身份: 只適用於第 10(ii)至 10(vi)類別的申請人

Authorized Signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction)

授權人士簽署（連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分）

Name of Signatory(ies)

簽署人姓名

Date

日期

**For HKEX Use Only**

Signature Verified by

Prepared / Checked by

Reviewed by

Updated by

Date

Date

Date

Date

## Privacy Policy Statement

Hong Kong Exchanges and Clearing Limited, and from time to time, its subsidiaries (together the "Group") (and each being "HKEX", "we", "us" or "member of the Group" for the purposes of this Privacy Policy Statement as appropriate) recognize their responsibilities in relation to the collection, holding, processing, use and/or transfer of personal data under the Personal Data (Privacy) Ordinance (Cap. 486) ("PDPO"). Personal data will be collected only for lawful and relevant purposes and all practicable steps will be taken to ensure that personal data held by us is accurate. We will use your personal data which we may from time to time collect in accordance with this Privacy Policy Statement.

We regularly review this Privacy Policy Statement and may from time to time revise it or add specific instructions, policies and terms. Where any changes to this Privacy Policy Statement are material, we will notify you using the contact details you have provided us with and, where required by the PDPO, give you the opportunity to opt out of these changes by means notified to you at that time. Otherwise, in relation to personal data supplied to us through the HKEX website or otherwise, continued use by you of the HKEX website or your continued relationship with us shall be deemed to be your acceptance of and consent to this Privacy Policy Statement, as amended from time to time.

If you have any questions about this Privacy Policy Statement or how we use your personal data, please contact us through one of the communication channels set out in the "Contact Us" section below.

We will take all practicable steps to ensure the security of the personal data and to avoid unauthorized or accidental access, erasure or other use. This includes physical, technical and procedural security methods, where appropriate, to ensure that the personal data may only be accessed by authorized personnel. Please note that if you do not provide us with your personal data (or relevant personal data relating to persons appointed by you to act on your behalf) we may not be able to provide the information, products or services you have asked for or process your requests, applications, subscriptions or registrations, and may not be able to perform or discharge the Regulatory Functions (defined below).

### Purpose

From time to time we may collect your personal data including but not limited to your name, mailing address, telephone number, email address, date of birth and login name for the following purposes:

1. to process your applications, subscriptions and registration for our products and services;
2. to perform or discharge the functions of HKEX and any company of which HKEX is the recognized exchange controller (as defined in the Securities and Futures Ordinance (Cap. 571)) ("Regulatory Functions");
3. to provide you with our products and services and administer your account in relation to such products and services;
4. to conduct research and statistical analysis;
5. to process your application for employment or engagement within HKEX to assess your suitability as a candidate for such position and to conduct reference checks with your previous employers; and
6. other purposes directly relating to any of the above.

### Direct marketing

Where you have given your consent and have not subsequently opted out, we may also use your name, mailing address, telephone number and email address to send promotional materials to you and conduct direct marketing activities in relation to HKEX financial services and information services, and financial services and information services offered by other members of the Group.

If you do not wish to receive any promotional and direct marketing materials from us or do not wish to receive particular types of promotional and direct marketing materials or do not wish to receive such materials through any particular means of communication, please contact us through one of the communication channels set out in the "Contact Us" section below. To ensure that your request can be processed quickly please provide your full name, email address, log in name and details of the product and/or service you have subscribed.

### Identity Card Number

We may also collect your identity card number and process this as required under applicable law or regulation, as required by any regulator having authority over us and, subject to the PDPO, for the purpose of identifying you where it is reasonable for your identity card number to be used for this purpose.

### Transfers of personal data for direct marketing purposes

Except to the extent you have already opted out we may transfer your name, mailing address, telephone number and email address to other members of the Group for the purpose of enabling those members of the Group to send promotional materials to you and conduct direct marketing activities in relation to their financial services and information services.

### Other transfers of your personal data

For one or more of the purposes specified above, your personal data may be:

1. transferred to other members of the Group and made available to appropriate persons in the Group, in Hong Kong or elsewhere and in this regard you consent to the transfer of your data outside of Hong Kong;
2. supplied to any agent, contractor or third party who provides administrative, telecommunications, computer, payment, debt collection, data processing or other services to HKEX and/or any of other member of the Group in Hong Kong or elsewhere; and
3. other parties as notified to you at the time of collection.

### How we use cookies

If you access our information or services through the HKEX website, you should be aware that cookies are used. Cookies are data files stored on your browser. The HKEX website automatically installs and uses cookies on your browser when you access it. Two kinds of cookies are used on the HKEX website:

**Session Cookies:** temporary cookies that only remain in your browser until the time you leave the HKEX website, which are used to obtain and store configuration information and administer the HKEX website, including carrying information from one page to another as you browse the site so as to, for example, avoid you having to re-enter information on each page that you visit. Session cookies are also used to compile anonymous statistics about the use of the HKEX website.

**Persistent Cookies:** cookies that remain in your browser for a longer period of time for the purpose of compiling anonymous statistics about the use of the HKEX website or to track and record user preferences.

The cookies used in connection with the HKEX website do not contain personal data. You may refuse to accept cookies on your browser by modifying the settings in your browser or internet security software. However, if you do so you may not be able to utilise or activate certain functions available on the HKEX website.

### Compliance with laws and regulations

HKEX and other members of the Group may be required to retain, process and/or disclose your personal data in order to comply with applicable laws and regulations or in order to comply with a court order, subpoena or other legal process (whether in Hong Kong or elsewhere), or to comply with a request by a government authority, law enforcement agency or similar body (whether situated in Hong Kong or elsewhere) or to perform or discharge the Regulatory Functions. HKEX and other members of the Group may need to disclose your personal data in order to enforce any agreement with you, protect our rights, property or safety, or the rights, property or safety of our employees, or to perform or discharge the Regulatory Functions.

### Corporate reorganization

As we continue to develop our business, we may reorganize our group structure, undergo a change of control or business combination. In these circumstances it may be the case that your personal data is transferred to a third party who will continue to operate our business or a similar service under either this Privacy Policy Statement or a different privacy policy statement which will be notified to you. Such a third party may be located, and use of your personal data may be made, outside of Hong Kong in connection with such acquisition or reorganization.

### Access and correction of personal data

Under the PDPO, you have the right to ascertain whether we hold your personal data, to obtain a copy of the data, and to correct any data that is inaccurate. You may also request us to inform you of the type of personal data held by us. All data access requests shall be made using the form prescribed by the Privacy Commissioner for Personal Data ("Privacy Commissioner") which may be found on the official website of the Office of the Privacy Commissioner or via this link

<https://www.pcpd.org.hk/english/publications/files/Dforme.pdf>

Requests for access and correction of personal data or for information regarding policies and practices and kinds of data held by us should be addressed in writing and sent by post to us (see the "Contact Us" section below).

A reasonable fee may be charged to offset our administrative and actual costs incurred in complying with your data access requests.

### Termination or cancellation

Should your account or relationship with us be cancelled or terminated at any time, we shall cease processing your personal data as soon as reasonably practicable following such cancellation or termination, provided that we may keep copies of your data as is reasonably required for archival purposes, for use in relation to any actual or potential dispute, for the purpose of compliance with applicable laws and regulations and for the purpose of enforcing any agreement we have with you, for protecting our rights, property or safety, or the rights, property or safety of our employees, and for performing or discharging our functions, obligations and responsibilities.

### General

If there is any inconsistency or conflict between the English and Chinese versions of this Privacy Policy Statement, the English version shall prevail.

### Contact us

By Post:  
Personal Data Privacy Officer  
Hong Kong Exchanges and Clearing Limited  
8/F., Two Exchange Square  
8 Connaught Place  
Central  
Hong Kong

By Email:  
[DataPrivacy@HKEX.COM.HK](mailto:DataPrivacy@HKEX.COM.HK)

## 私隱政策聲明

香港交易及結算所有限公司以及其不時的附屬公司（統稱「**本集團**」）（在本私隱政策聲明中，各自稱為「**香港交易所**」、「**我們**」或「**本集團成員公司**」，視適用情況而定）明白根據香港法例第 486 章《個人資料（私隱）條例》（該「《**條例**》」）其在收集、持有、處理、使用及／或轉移個人資料方面的責任。個人資料的收集只限作合法且相關的用途，並會採取一切實際可行方法去確保我們持有的個人資料準確無誤。我們將會根據本私隱政策聲明使用我們不時所收集閣下的個人資料。

我們定期檢討這項私隱政策聲明，並可能不時加以修訂或加入具體指示、政策及條款。本私隱政策聲明如有任何重要修訂，我們會通過閣下提供給我們的聯絡方式通知閣下，也會按該《條例》的規定，讓閣下可以透過屆時通知閣下的途徑選擇拒絕接收此類修訂通知。否則，關於通過香港交易所網站或其他方式而提供給我們的個人資料，閣下繼續使用香港交易所網站或繼續維持與我們的關係即被視為同意並接受此項私隱政策聲明（不時修訂）。

如對這項私隱政策聲明或我們如何使用閣下的個人資料有任何疑問，請通過下文「**聯繫我們**」所載的任何一個通訊渠道與我們聯繫。我們會採取一切實際可行方法確保個人資料的安全，以及避免個人資料在未經授權或意外的情況下被取用、刪除或作其他用途。這包括在實物具體上、技術上及程序上的適當安全措施，確保只有經授權人士才能取用個人資料。

請注意：如閣下沒有向我們提供個人資料（或有關閣下代理人的個人資料），我們可能無法提供閣下要求的資訊、產品或服務又或無法處理閣下的要求、申請、訂購或登記，亦可能無法執行或履行監管職能（定義見下文）。

### 目的

我們或會為了以下目的而不時收集閣下的個人資料（包括但不限於閣下的姓名、郵寄地址、電話號碼、電郵地址、出生日期和登入名稱）：

1. 處理閣下的申請、訂購及登記使用我們的產品及服務；
2. 執行或履行香港交易所以及任何由其作為認可控制人的公司（定義見香港法例第 571 章《證券及期貨條例》）的職能（「**監管職能**」）；
3. 向閣下提供我們的產品和服務，以及與此相關的賬戶管理；
4. 進行研究和統計分析；
5. 處理閣下應聘香港交易所職位或工作的申請，以評估閣下是否為適合人選，並向閣下的前僱主進行相關的背景查證；及
6. 與上列任何一項有直接關聯的其他目的。

### 直接營銷

如閣下已經給予同意而其後並無撤回，我們也可能會使用閣下的姓名、郵寄地址、電話號碼和電郵地址，用以寄送宣傳資料，就香港交易所以及本集團其他成員公司的金融和資訊服務進行直接營銷活動。

如不希望收到我們的宣傳和直接營銷資料，或不希望收到某類宣傳和直接營銷資料，又或不希望在某種途徑收到此類材料，請通過下文「**聯繫我們**」所載的其中一種通訊渠道聯絡我們。為確保可以迅速處理閣下的要求，請提供閣下的全名、電郵地址、登入名稱及所訂閱產品及／或服務的詳情。

### 身份證號碼

我們也可能會根據適用法律或規例又或任何對我們有管轄權限的監管者的要求而收集並處理閣下的身份證號碼，另外亦可能因為需要識別閣下的身份而（在不抵觸該《條例》的前提下）收集並處理閣下的身份證號碼。

### 轉移閣下的個人資料作直接營銷

除非閣下已經拒絕，否則我們可能會將閣下的姓名、郵寄地址、電話號碼和電郵地址轉交本集團其他成員公司，使其可向閣下寄送宣傳資料，就其金融和資訊服務進行直接營銷活動。

### 其他轉移個人資料的情況

為了以上一個或多於一個目的，閣下的個人資料可能會被：

1. 轉交予本集團其他成員公司，而使本集團（在香港或其他地方）的相關人員獲得閣下的個人資料；就此，閣下同意將閣下的個人資料轉離香港；
2. 提供予任何向香港交易所及／或本集團在香港或其他地方的其他成員提供行政、電訊、電腦、付款、追收欠款、資料處理或其他服務的代理、承辦商或第三方；及
3. 轉交予其他人士（收集資料時會通知閣下）。

### 我們如何使用 cookies

閣下通過香港交易所網站查閱我們的資訊或服務時，應當留意到網站有使用 **cookies**。**Cookies** 是指儲存在閣下瀏覽器內的資料檔。閣下進入香港交易所網站時，網站即在閣下瀏覽器內自動安裝並使用 **cookies**。香港交易所網站使用兩種 **cookies**。

**Session Cookies**：一種只在閣下瀏覽香港交易所網站期間留存於瀏覽器內的短暫性質 **cookies**，用處在於取得並儲存配置資訊及管理網站，包括「攜帶」資訊以隨閣下瀏覽網站的不同版頁，譬如以免閣下每到一個版頁也要重新輸入資訊。**Session Cookies** 也會用來編備關於香港交易所網站使用的匿名統計資料。

**Persistent Cookies**：一種留存於瀏覽器內較長時間的 **cookies**，用以編備關於香港交易所網站使用的匿名統計資料，或追蹤和記錄使用者的習慣偏好。

香港交易所網站所用的 **cookies** 不包含個人資料。閣下可以更改瀏覽器或網路安全軟件中的設定，拒絕接受瀏覽器內的 **cookies**。不過，這樣或會令閣下不能使用或啟動香港交易所網站中的某些功能。

### 法律與法規的遵守

香港交易所及本集團其他成員公司或要為了遵守適用法律及規例，或遵守法院指令、傳票或其他法定程序（無論於香港或其他地方），或遵從政府機關、執法機構或類似機構（無論位於香港或其他地方）提出的要求，又或執行或履行監管職能，而必須保留、處理及／或披露閣下的個人資料。香港交易所及本集團其他成員公司或須披露閣下的個人資料，以履行與閣下的協議，或保護我們或我們僱員的權利、財產或安全，又或執行或履行監管職能。

### 公司重組

隨著我們持續發展業務，我們可能會重組集團架構或出現控制權易手或業務合併。在這些情況下，閣下的個人資料或會按這份私隱政策聲明或另一份將會通知閣下的私隱政策聲明而移交繼續運營我們業務或類似服務的第三方。此等第三方或在香港以外的地方，就此等收購或重組而使用閣下個人資料的地點也可能不在香港。

### 查閱及更正個人資料

根據該《條例》，閣下有權查明我們是否持有閣下的個人資料、取得資料的備份及更正任何不準確資料，也可以要求我們通知閣下其持有資料的種類。如欲查閱有關資料，須使用個人資料私隱專員（「**私隱專員**」）指定的表格（可於私隱專員公署的官方網站下載）或經此連接 <https://www.pcpd.org.hk/english/publications/files/Dforme.pdf> 提出。

如欲查閱和更正個人資料，或查閱有關政策與常規以及我們所持有資料種類，應以書面及郵遞形式提出要求（見以下「**聯繫我們**」）。

我們或會因應閣下查閱資料要求而產生的行政及實際成本而收取合理的費用。

### 終止或取消

任何時候如果閣下在我們的賬戶或與我們的關係被取消或終止，我們會隨即在合理情況下盡快終止處理閣下的個人資料，但也可按合理需要而保留有關資料，合理的需要包括：資料歸檔；解決實際或潛在的爭議；遵守適用法律及規例；履行與閣下的任何協議；保障我們及我們僱員的權利、財產或安全；以及執行或履行我們的職能、義務及責任等。

### 一般資料

本私隱政策聲明中英文本如有差異，概以英文版為準。

### 聯繫我們

郵寄：  
香港中環康樂廣場 8 號  
交易廣場二期 8 樓  
香港交易及結算所有限公司  
個人資料隱私主任

電郵：  
[DataPrivacy@HKEX.COM.HK](mailto:DataPrivacy@HKEX.COM.HK)