



**農銀國際**

ABC INTERNATIONAL

ABC SECURITIES COMPANY LIMITED

農銀國際證券有限公司 ABCI Securities Company Limited

香港中環紅棉路 8 號東昌大廈 13 樓

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Tel: (852) 2147 8836 Fax: (852) 2868 0320

## Personal Information Collection Statement

ABCI Securities Company Limited (referred to as the “**the Company**”, “**our**”, “**we**”, or “**us**”) may collect certain personal information, including without limitation your (also referred to as the “**Client**”) name, identity card number (and copy of identity card), passport number, contact information, employment, education level, investment experience, financial position and any other regulatory required personal information (together with your account information, “**Personal Information**”) from you in connection with the establishment or continuation of accounts or the provision of services by the Company and generally your relationship with the Company in Hong Kong. We may also collect personal information about you from third parties such as bankers, brokers, credit reporting agencies, government agencies, courts or public records.

The Company will keep the Personal Information confidential, but may provide any such information to the holding companies of the Company or their subsidiaries and affiliates (including us referred to as “**Group Companies**” or each of them “**Group Company**”), the relevant exchange, the SFC and any other regulatory bodies to comply with their requirements or requests for information under any applicable laws or regulations.

### 1. Purpose of Collection

We may use your Personal Information for the following purposes: (a) opening and administering the Client’s account; (b) the daily operation of the loan facilities provided to the Client; (c) making lending and credit analysis decision; (d) conducting credit checks and ensuring ongoing credit worthiness of the Client; (e) determining the amount of indebtedness owed to or by the Client with the Group Company; (f) recovery of any monies owed from or liabilities incurred by the Client and those providing security for the Client’s obligations; (g) meeting the requirements to make disclosure under any laws, rules or regulations binding on the Group Company; (h) to conduct research and statistical analysis; (i) marketing financial services or related products of the Group Company (unless Client objects to such marketing); (j) enabling an actual or proposed assignee of the Group Company in connection with merger, amalgamation reconstruction or otherwise to evaluate the transaction intended to be the subject of the assignment; (k) commencing, defending or otherwise participating in any legal or administrative proceedings or inquiry before any court or competent authority; and (l) purposes ancillary or relating thereto.

### 2. Classes of Transferees

We may disclose your Personal Information to third parties (within or outside Hong Kong) for the purposes outlined at Section 1 above, including without limitation the following third parties: (a) any agent, contractor or third party service provider who provides administrative, telecommunications, computer, payment or securities clearing or other services to the Group Company in connection with the operation of its or their business; (b) any other person under a duty of confidentiality to the Group Company, which has undertaken to keep such information confidential; (c) any bank or financial institution with which the Client has dealings or proposes to have dealings; (d) any actual or proposed assignee of the Group Company or participant or sub-participant or transferee of the rights of the Group Company in respect of the Client; (e) any legal, accounting or professional person, firm or body; (f) any government, law enforcement, courts or other regulatory authority, body or entity under any applicable laws, rules or regulations; (g) the Group Company; (h) credit reference agencies; (i) debt collection agencies; (j) partnering financial institutions.

We will not disclose your Personal Information to any other third parties for direct marketing purpose without your consent.

We may transfer your Personal Information in connection with a transaction with another company which affects the control, governance, structure and/or management of all or a substantial part of our business, or if required to satisfy applicable legal or regulatory requirements.

### 3. Consequence of failing to provide Personal Information

Unless otherwise specified by us, it is mandatory for you to provide the Personal Information requested by us. In the event that any such Personal Information is not provide, we may be unable to provide you with the services or carry out the activities outlined at section 1 above.

### 4. Access and Correction Rights

Under the personal Data (Privacy) Ordinance (the ‘Ordinance’), you have the right to request access to and correction of any Personal Information that you provide to us. You may make such a request by writing to our Data Protection Officer at 13<sup>th</sup> Floor, Fairmont House, 8 Cotton Tree Drive, Central, Hong Kong. In accordance with the Ordinance, we have the right to charge a reasonable fee for the processing of any Personal Information access or correction request.

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### Client’s Reply on Direct Marketing Purpose:

ABCI Securities Company Limited (the “Company”) intends to use Client’s name, telephone number, email address and correspondence address for direct marketing the financial services and related product of the Group Company but the Company cannot so use Client’s personal data without Client’s consent.

**Please sign at the end of this statement to indicate Client’s agreement to such use. Should Client find such use of Client’s personal data not acceptable, please indicate Client’s objection before signing by ticking the box below.**

The Client named below objects to the proposed use of his/her personal data in direct marketing.

\_\_\_\_\_  
Signature of the client

Name:

Account Number:

Date: