

## Use of Data in Direct Marketing 使用資料作直接促銷

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Exchange Participant of the Stock Exchange of HK Ltd No. 01858 (CE No. AB5015)

To: Yuanta Securities (Hong Kong) Company Limited  
致：元大證券（香港）有限公司

Please return your completed form by fax or by e-mail to the fax no. or e-mail address below. Your request will be processed within 7 working days upon our receipt of your form. For inquiries, please do not hesitate to contact us at (852) 3555 7878. 請將已填妥的表格透過傳真或電郵遞交至本公司。本公司將在收到此表格後七個工作天內處理您的申請。如欲查詢，請致電(852) 3555 7878 與客戶服務部聯絡。

Fax 傳真：(852) 2866 4656 E-mail 電郵：HK.Services.brk@yuanta.com

YSHK intend to use your personal data in direct marketing and we require your consent (which includes an indication of no objection) for that purpose. In this connection, please note that 元大證券（香港）擬使用閣下的個人資料作直接促銷，為此我們須取得閣下的同意（包括表示不反對）。就此，請注意：

- (a) your name, contact details, products and services portfolio information, transaction pattern and behaviour, financial background and demographic data held by YSHK from time to time may be used by YSHK in direct marketing;  
元大證券（香港）不時持有的閣下的姓名、聯絡詳情、產品及服務投資組合信息、交易模式及行為、財務背景及統計數據可由元大證券（香港）用於直接促銷；
- (b) the following classes of services, products and subjects may be marketed 可用作促銷下列類別的服務、產品及標的：
- (i) securities, futures, foreign exchange, financial, insurance, commodities, investment, asset management and related services and products and facilities;  
證券、期貨、外匯、財務、保險、商品、投資、財富管理及相關服務和產品及授信；
  - (ii) reward, loyalty or privileges programmes in relation to the class of marketing subjects as referred to in paragraph b(i) above;  
有關上文第(b)(i)款所述促銷標的類別的獎賞、年資獎勵或優惠計劃；
  - (iii) services and products offered by Yuanta Group's co-branding partners (the names of such co-branding partners can be found in the application form(s) for the relevant services and products, as the case may be) in relation to the class of marketing subjects as referred to in paragraph b(i) above; and 由元大集團的聯營夥伴提供有關上文第(b)(i)款所述促銷標的類別的服務和產品（有關服務和產品（視屬何情況而定）的申請表格上會提供該等聯營夥伴的名稱）；及
  - (iv) donations and contributions for charitable and/or non-profit making purposes;  
為慈善及／或非牟利目的而作出之捐款及資助；
- (c) the above services, products and subjects may be provided or (in the case of donations and contributions) solicited by YSHK and/or 上述服務、產品及標的可由元大證券（香港）及／或下述人士提供或（如涉及捐款及資助）募捐：
- (i) any member of Yuanta Group;  
元大集團之任何成員公司；
  - (ii) third party financial institutions, insurers, securities, commodities and investment services providers;  
第三方金融機構、承保人、證券、商品及投資服務供應商；
  - (iii) third party reward, loyalty, co-branding or privileges programme providers;  
第三方獎賞、年資獎勵、聯營或優惠計劃提供者；
  - (iv) co-branding partners of Yuanta Group (the names of such co-branding partners can be found in the application form(s) for the relevant services and products, as the case may be); and 元大集團之聯營夥伴（有關服務和產品（視屬何情況而定）的申請表格上會提供該等聯營夥伴的名稱）；及
  - (v) charitable or non-profit making organizations;  
慈善或非牟利組織；
- (d) in addition to marketing the above services, products and subjects itself, We also intend to provide the data described in paragraph (a) above to all or any of the persons described in paragraph (c) above for use by them in marketing those services, products and subjects (in respect of which we may or may not be remunerated), and we require your written consent (which includes an indication of no objection) for that purpose;  
除了自行推廣上述服務、產品及標的外，本公司亦擬將上文第(a)款所述資料提供予上文第(c)款所述的全部或其中任何人士，以供該等人士在促銷該等服務、產品及標的時使用（本公司可能就此獲發或不獲發酬金），而元大證券（香港）須就此用途取得閣下的書面同意（包括表示不反對）。

Note 備注：

# means any member of the controlling group of YSHK including, its subsidiaries, its controlling company and the subsidiaries and associated companies of such controlling company. 指元大（香港）之控股集團之任何成員公司，其附屬公司、其控股公司及該控股公司之附屬公司及相聯公司。

\* For the instruction to be effective, please allow maximum 7 business days from the date of receipt of the request. 有關指示會在本公司收到書面通知後7個營業日後生效。

### Declaration and confirmation 聲明及確認

- I / We acknowledged that I/we have read and agreed the above Use of Data in Direct Marketing - Notice to Customers ("Notice") and that I / we can exercise the right to opt out by written notice to you from time to time. I / We give consent to YSHK and the persons described in paragraph (c) of the Notice above for using in direct marketing as referred to in the Notice. 本人/吾等已閱讀及同意上述「使用資料作直接促銷 - 致客戶之通知」（「通知」），並明白本人/吾等可以隨時以書面形式通知貴公司，以行使拒絕參與直銷活動的權利。本人/吾等同意元大證券（香港）按照通知內之安排，向元大（香港）及第(c)款所述的人士提供人/吾等之個人資料作直接促銷之用。
- I / We refuse to give consent to YSHK for using my/our personal data in direct marketing as referred to in the Notice. 本人/吾等不同意元大證券（香港）按照通知內之安排，使用本人/吾等之個人資料作直接促銷之用。

Client Signature(s) 客戶簽署	✗ Please use the signature(s) field with our company 請用留存本公司之印鑑式樣	Account No. 戶口號碼	
Client Name 客戶名稱		Date 日期	day 日 / month 月 / year 年

### For official use only 僅供職員填寫

Verified by	Approved by	Input by	Checked by
Date	Date	Date	Date