

## PERSONAL INFORMATION COLLECTION STATEMENT

1. This Personal Information Collection Statement is made in accordance with the guidelines issued by the Privacy Commissioner for Personal Data (**Privacy Commissioner**). It sets out the purposes for which your Personal Data<sup>1</sup> will be used following collection, what you are agreeing to with respect to the SFC's and HKEX's use of your Personal Data and your rights under the Personal Data (Privacy) Ordinance (Cap. 486) (**PDPO**).

### Purpose of collection

2. The Personal Data provided in your submission to the SFC and/or the Exchange (a wholly owned subsidiary of HKEX) in response to this consultation paper may be used by the SFC and/or HKEX for one or more of the following purposes –
  - (a) in the case of the SFC, to administer the relevant provisions<sup>2</sup> and codes and guidelines published pursuant to the powers vested in the SFC; and in performing its statutory functions under the relevant provisions;
  - (b) in the case of HKEX, to perform or discharge the functions of HKEX and any company of which HKEX is the recognised exchange controller (as defined in the Securities and Futures Ordinance (Cap. 571));
  - (c) for research and statistical purposes;
  - (d) for other purposes permitted by law.

### Transfer of personal data

3. Personal Data may be disclosed by the SFC and/or HKEX to members of the public in Hong Kong and elsewhere, as part of the public consultation on this consultation paper. The names of persons who submit comments on this consultation paper together with the whole or part of their submission may be disclosed to members of the public. This will be done by publishing this information on the website(s) of the SFC and/or HKEX and in documents to be published by the SFC and/or HKEX during the consultation period or at its conclusion.

### Access to data

4. You have the right to request access to and correction of your Personal Data in accordance with the provisions of the PDPO. Your right of access includes the right to obtain a copy of your Personal Data provided in your submissions on this consultation paper. All data access requests shall be made using the form prescribed by the Privacy Commissioner which may be found on the official website of the Office of the Privacy Commissioner. The SFC and/or HKEX have the right to charge a reasonable fee for processing any data access request.

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<sup>1</sup> Personal Data means personal data as defined in the Personal Data (Privacy) Ordinance (Cap. 486).

<sup>2</sup> The term "relevant provisions" is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (Cap. 571) and refers to the provisions of that Ordinance together with certain provisions in the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap. 32), the Companies Ordinance (Cap. 622) and the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance (Cap. 615).

## Retention

5. Personal Data provided to the SFC and/or HKEX in response to this consultation paper will be retained for such period as may be necessary for the proper discharge of their respective functions.

## Enquiries

6. Any enquiries regarding the Personal Data provided in your submission on this consultation paper, or requests for access to Personal Data or correction of Personal Data, should be addressed in writing to:

In the case of the SFC:

The Data Privacy Officer  
Securities and Futures Commission  
35/F, Cheung Kong Center  
2 Queen's Road Central  
Hong Kong

In the case of HKEX:

Personal Data Privacy Officer  
Hong Kong Exchanges and Clearing Limited  
12/F, One International Finance Centre  
1 Harbour View Street  
Central  
Hong Kong

By e-mail: [pdpo@hkex.com.hk](mailto:pdpo@hkex.com.hk)

A copy of the Privacy Policy Statement adopted by the SFC is available upon request. A copy of the Privacy Policy Statement adopted by HKEX is available on HKEX's website at [http://www.hkex.com.hk/eng/global/privacy\\_policy.htm](http://www.hkex.com.hk/eng/global/privacy_policy.htm).