



嘉信理財

Charles Schwab, Hong Kong, Ltd. Use of Personal Data in Direct Marketing and Client Choice

www.schwab.com.hk | +852-2101-0500

1. Overview of Our Use of Personal Data

Charles Schwab, Hong Kong, Ltd. ("Schwab Hong Kong") intends, from time to time, to use some of your personal data including your name, contact information (such as your address[es], phone number[s], and email address), portfolio information, transaction patterns and behavior, financial background, and account history for direct marketing to you the following classes of services and products: financial, securities-related, credit/debit card, banking and payment, advisory, and investment-related; and we may invite you to take part in market research studies or consumer opinion surveys. This may include products and services offered by Schwab Hong Kong or, as appropriate, its affiliates and those financial institutions with whom Schwab Hong Kong has joint marketing arrangements, whether those products and services are available through us or otherwise. We may also send you materials relating to networking, social, recreational, or personal enhancement events or activities organized by us for our clients.

Schwab Hong Kong may also provide your personal data as mentioned above, as appropriate, to any members of The Charles Schwab Corporation or those financial institutions with whom Schwab Hong Kong has joint marketing arrangements for use by them in direct marketing to you the classes of services and products listed above.

Please refer to our privacy policy set forth in our Privacy Notice and the Schwab Hong Kong U.S. Dollar Account Agreement for further details.

We will not use your personal information as described above without your consent.

2. Authorization for Use of Personal Data in Direct Marketing and Client Choice

Please complete, sign, and date Section A or B.

A. To authorize the use of your personal information as described above, please sign where indicated.

Signature(s) and Date(s) Required

X	Account Holder Signature	Print Name	Date (mm/dd/yyyy)
X	Additional Account Holder Signature	Print Name	Date (mm/dd/yyyy)

B. To decline the use of your personal information as described above, tick the appropriate box(es) and sign where indicated.

Your indications below will not affect your account application with us.

- I do not authorize the proposed use of my personal data in direct marketing by Schwab Hong Kong.
- I do not authorize the proposed provision of my personal data, as appropriate, to any members of The Charles Schwab Corporation or those financial institutions with whom Schwab Hong Kong has joint marketing arrangements for use by them in direct marketing in accordance with applicable laws.

Signature(s) and Date(s) Required

X	Account Holder Signature	Print Name	Date (mm/dd/yyyy)
X	Additional Account Holder Signature	Print Name	Date (mm/dd/yyyy)

I understand that in the event of any conflict or inconsistency between the English Agreement and Chinese translation, the English Agreement shall control.

Charles Schwab, Hong Kong, Ltd. is registered with the Securities and Futures Commission ("SFC") to carry out the regulated activities in dealing in securities and advising on securities under CE number ADV256.





嘉信理財

嘉信理財香港有限公司 有關在直接行銷中個人資料的使用 以及客戶選擇

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1. 我方使用個人資料之概覽

嘉信理財香港有限公司(「香港嘉信理財」)擬不時將閣下的一些個人資料(包括閣下的姓名、聯絡方式[如:住址、電話號碼、電郵地址]、投資組合資料、交易模式與行為、財務背景與帳戶歷史)用來向閣下直接行銷以下服務類別:金融、證券、信用卡/簽帳卡、銀行業務與付款、諮詢、及投資相關的服務與產品。此外,我方亦可能會邀請閣下參加市場研究或消費者意見調查。這可能包括香港嘉信理財或(在適當情況下)香港嘉信理財的附屬機構、與香港嘉信理財有聯合行銷協議的金融機構提供的產品與服務,無論這些產品與服務是否由我方提供。我方也可能向閣下提供由我方為客戶安排的交際、社交、娛樂或個人增值活動的資料。

香港嘉信理財也可能在適當情況下,將閣下上述的個人資料提供給嘉信理財集團(Charles Schwab Corporation)的任何成員或與香港嘉信理財有聯合行銷協議的金融機構,用來直接向閣下推銷上述種類的服務與產品。

有關詳情,請參閱我方私隱通知及香港嘉信理財「美元帳戶協議書」所列之私隱政策。

在未經閣下同意前,我方不會將閣下的個人資料作以上用途。

2. 授權在直接行銷中使用個人資料以及客戶選擇

請填妥A或B部份、並簽署及註明日期。

A. 如閣下同意我方使用閣下的個人資料作以上用途,請於指定的地方簽署。

簽署並註明日期(必須填寫)

X
帳戶持有人簽署 請以正楷填寫姓名 日期(月/日/年)

X
其他帳戶持有人簽署 請以正楷填寫姓名 日期(月/日/年)

B. 如閣下反對讓我方使用閣下的個人資料作以上用途,請於適當空格填上[✓]號,並於指定的地方簽署。

閣下於下方的指示不會影響閣下的嘉信理財帳戶申請。

本人反對香港嘉信理財使用本人的個人資料於擬進行直接行銷。

本人反對擬以本人的個人資料(在適當情況下)提供給任何嘉信理財集團成員或與香港嘉信理財有聯合行銷協議的金融機構,以用於根據適用法例進行直接行銷。

簽署並註明日期(必須填寫)

X
帳戶持有人簽署 請以正楷填寫姓名 日期(月/日/年)

X
其他帳戶持有人簽署 請以正楷填寫姓名 日期(月/日/年)

本人明白若英文版本內容與中文翻譯有任何分歧和異議,當以英文版為準。中文版僅提供為參考。

嘉信理財香港有限公司於香港證券及期貨事務監察委員會(「證監會」)
註冊進行證券交易並就證券提供意見的受規管活動,其中央編號為ADV256。

