

## Personal Information Collection Statement

1. The Personal Information Collection Statement (“**PICS**”) is made in accordance with the guidelines issued by the Office of the Privacy Commissioner for Personal Data. The PICS sets out the policies and practices of the HKSI Institute with regard to your personal data<sup>1</sup> and what you are agreeing to with respect to the HKSI Institute’s use of your personal data for the purposes identified below.
2. Data collected may be accessible by the HKSI Institute's officers, persons or committees processing membership application and related matters. Please refer to the HKSI Institute's privacy policy on its website at <https://www.hksi.org/en/privacy-policy/>.

### Purpose of Collection

3. The personal data provided in the membership application form will be used by the HKSI Institute for one or more of the following purposes:
  - evaluating and processing of your membership application and the making of other membership-related decisions;
  - contacting bodies relevant to your application to check and verify the information submitted in your application;
  - research and/or statistical purposes;
  - keeping the register of members (physical and/or digital form) for inspection and compliance purpose;
  - any other purposes directly relating to any of the above.

### Transfer of Personal Data

4. The HKSI Institute will keep your personal data confidential. However, subject to the provisions of any applicable law, the personal data may be:
  - supplied to any agent, contractor or third party who provides administrative or other services to the HKSI Institute, local and overseas and who has a duty of confidentiality to us, including such persons as external auditors, consultants and agents;
  - disclosed to any governmental or regulatory authorities or departments, or courts of law or any other person, in Hong Kong or elsewhere, for the purpose of verifying personal data provided by you to the HKSI Institute.

### Access to Data

5. Unless otherwise agreed, any documents containing your personal data that you provide to the HKSI Institute will become the property of the HKSI Institute and will not be returned to you. The HKSI Institute will destroy any documents and personal data it holds in accordance with its internal policy and applicable laws. Applicants are required to complete their applications within three months. Failing that they may be deemed to have withdrawn their applications. Personal data of the unsuccessful and withdrawn applicants will be destroyed within three months from the date of rejection or withdrawal.
6. You have the right to request access to and correction of your personal data in accordance with sections 18 and 22 and Principle 6 of Schedule 1 of the Personal Data (Privacy) Ordinance (Chapter 486 of the Laws of Hong Kong). The HKSI Institute has the right to charge a reasonable fee for processing of any data access request.
7. Any enquiries regarding the personal data provided in the application form or any other form of request for information (as the case may be), or requests for access to personal data or correction of personal data, should be made via [Online Portal \(https://login.hksi.org/login\)](https://login.hksi.org/login) or addressed in writing to:-

The Data Privacy Officer, Corporate Affairs Department

By mail to: Hong Kong Securities and Investment Institute  
17/F, Cambridge House, Taikoo Place,  
979 King's Road, Quarry Bay, Hong Kong; or

By email to: [info@hksi.org](mailto:info@hksi.org)

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<sup>1</sup> “Personal data” is defined in Section 2 of the Personal Data (Privacy) Ordinance, Cap 486 (“PDPO”).

## 收集個人資料聲明

1. 個人資料收集聲明(“聲明”)是根據香港個人資料私隱專員公署發布的指引制定，聲明列出香港證券及投資學會(“學會”)對您的個人資料<sup>2</sup> 政策和作業守則，以及您同意學會將您的個人資料用作下列用途。
2. 學會的職員、人員或委員會可能會接觸所收集的資料，以處理會籍申請及相關事宜。有關學會的《隱私政策聲明》，請瀏覽其網站 <https://www.hksi.org/hk/privacy-policy/>。

### 收集資料目的

3. 您於會籍申請所提供的個人資料，將被學會用作以下列一項或多項用途：
  - 評估和處理您的會籍申請，並作出其他與會籍相關的決定；
  - 聯絡與您申請相關的機構以查證及核實您申請時所提交的資料；
  - 研究及/或統計用途；
  - 保存會員名冊(實物和/或數碼形式)供查閱及合規用途；
  - 與上述任何一項直接相關的任何其他用途。

### 個人資料轉移

4. 學會會對您的個人資料保密，除非是按照任何適用法律的規定，您的個人資料可能會：
  - 學會可能會向任何在本地和海外向學會提供行政或其他服務的代理、承辦商或第三者提供您的個人資料，包括外部審計師、顧問和代理等，所列者均對學會負有保密責任；
  - 向香港或其他地方的任何政府或監管機構或部門、法院或任何其他人士披露您的個人資料，以核實您向學會所提供的個人資料。

### 查閱資料

5. 除非另外協議，否則您所提供含有個人資料的文件將成為學會的資產，學會將不會退還。學會將按照其內部政策和適用法律銷毀所持有的任何文件及個人資料。申請人需於三個月內遞交完整申請，否則可能被視為撤回申請。學會將於拒絕或申請人撤回申請之日起計的三個月內銷毀相關的個人資料。
6. 根據《個人資料(私隱)條例》(香港法例第 486 章)第 18 條、第 22 條及附表 1 的第 6 原則，您有權要求查閱和更改您的個人資料。學會有權就處理任何查閱資料的要求，收取合理的費用。
7. 如欲查詢申請表格上的個人資料，或以任何其他形式提出資料請求(視情況而定)，或要求查閱個人資料或更正個人資料，請透過學會 [電子服務網站](https://login.hksi.org/login) (<https://login.hksi.org/login>) 或以書面形式提出：

機構事務部資料私隱主任

郵寄至：香港證券及投資學會  
香港鰂魚涌英皇道979號太古坊康橋大廈17樓；或  
電郵至：[info@hksi.org](mailto:info@hksi.org)

<sup>2</sup> 第 486 章《個人資料(私隱)條例》第 2 條定義“個人資料”。