

索取直接促銷資料表格

Direct Marketing Materials Request Form

客戶姓名 (先生/小姐/太太) Client Name (Mr./Ms./Mrs.): _____

綜合理財賬戶號碼 (如適用) MasterAccount Number (if applicable): _____

(沒有綜合理財賬戶之客戶)
(For prospective client without a MasterAccount)

手提電話 Mobile Phone Number: _____

辦公室電話 Office Phone Number: _____

住宅電話 Home Phone Number: _____

電郵地址 Email Address: _____

郵寄地址 Postal Address: _____

請於本表格末端簽署，以表明閣下同意隨附個人資料私隱聲明所述對閣下個人資料作直接促銷用途之使用/轉移。如閣下不接受閣下的個人資料作該等使用/轉移，請於簽署前在以下相關方格加上剔號，以表明閣下反對該等使用/轉移。如閣下並無在相關方格加上剔號，則閣下簽署本表格即表示閣下同意摩根及有關各方（「摩根」及「有關各方」之定義見個人資料私隱聲明）可使用/轉移閣下的個人資料作直接促銷用途。

Please sign at the end of this form to indicate your agreement to the direct marketing use/transfer of your personal data, as stated in the enclosed Personal Data Privacy Statement. Should you find such use/transfer of your personal data not acceptable, please indicate your objection before signing by ticking the relevant box(es) below. If you do not tick the relevant box(es), by signing this form you agree that JPMorgan and the Parties (each as defined in the Personal Data Privacy Statement) may use/transfer your personal data for the relevant direct marketing purposes.

本人 _____, 反對上述擬議使用本人的個人資料作直接促銷用途[#]。

I _____, object to the proposed use of my personal data in direct marketing[#].

本人 _____, 反對上述擬議轉移本人的個人資料作直接促銷用途[#]。

I _____, object to the proposed transfer of my personal data in direct marketing[#].

本人已閱讀個人資料私隱声明的其他部分，並明白及同意該等條款。

I have read the other parts of the Personal Data Privacy Statement and understand and agree to those terms.

[#] 聯名賬戶下，如任何一位聯名賬戶持有人表示反對，有關反對將適用於所有聯名賬戶持有人。公司賬戶下，如任何一位獲授權人表示反對，有關反對將適用於所有獲授權人。

[#] In the case of joint accounts, any such objection made by one joint account holder applies to all joint account holders. In the case of corporate accounts, any such objection made by an authorised signatory applies to all authorised signatories.

客戶簽署
Client Signature: _____

日期
Date: _____

只供內部使用
For internal Use

個人資料私隱聲明

以下個人資料私隱聲明乃根據香港《個人資料(私隱)條例》(「**條例**」)而就申請人與摩根基金(亞洲)有限公司(「**本公司**」)或其聯屬公司(統稱「**摩根**」)不時進行的交易及向摩根提供個人資料或資訊(「**資料**」)而提供予申請人。本聲明屬「綜合理財賬戶」之條款及條件的一部分，申請人與本公司的關係乃受該等條款及條件規管。

收集：

1. 申請人須不時就不同事項(例如開立賬戶或繼續運作、向申請人提供服務或遵從法律或監管或其他當局所頒布任何指引)而向摩根提供資料。
2. 可收集資料的種類包括(但不限於)姓名及地址、職業、聯絡資料、出生日期及國家、國籍、身份證、社會保障或全國保險號碼、稅務居留國家、稅務參考號碼或護照號碼及財政狀況詳情。
3. 若未能提供該等資料，有可能會導致摩根無法為申請人開立賬戶或繼續向申請人提供服務，又或無法遵從法律或監管或其他當局所頒布的任何指引及守則。
4. 在延續申請人與摩根的關係的日常業務過程中亦會向申請人收集資料，例如在申請人開立賬戶、簽發支票、轉賬、進行交易、出席研討會/活動、參與網上活動，或與摩根進行一般口頭或書面通訊。

目的及用途：

1. 使用資料之目的將視乎申請人與摩根的關係性質而異。摩根擬就下列任何或全部目的而使用其資料(包括申請人所提供的任何第三者資料)：
 - (a) 辦理於本公司開立賬戶的申請(包括確認及查證申請人身份)；
 - (b) 申請人賬戶的日常運作及所獲提供服務；
 - (c) 任何有關摩根所提供產品與服務的行政管理的目的；
 - (d) 為客戶研究、設計及推售金融、投資服務或相關產品；
 - (e) 符合適用於在香港或其他地區的摩根的任何法律或規例、守則、指引或摩根內部合規政策下的披露、申報及合規規定(包括但不限於稅務申報)；
 - (f) 以下服務及產品的推廣與直接促銷(惟申請人有權反對該項用途)：
 - i) 財務策劃及投資、財富管理及相關服務及產品；
 - ii) 金融、投資及教育研討會及論壇；
 - iii) 摩根及/或任何摩根實體的業務之全部或任何重大部分的任何受讓人所提供的其他金融服務及產品；
 - (g) 使：
 - i) 任何摩根實際或建議的承讓人；
 - ii) 任何摩根對於申請人及/或「綜合理財賬戶」的權利或義務的實際或建議的參與者、次參與者或受讓人；及/或
 - iii) 任何摩根對於申請人及/或「綜合理財賬戶」的義務的更替方，能夠評核、執行及/或完成任何出讓、參與、次參與、轉讓、約務更替或其他類似安排的有關交易；及
 - (h) 任何其他與上述直接相關的目的。
2. 申請人有權反對將其資料用作第1(f)段所載直接促銷目的。申請人若提出要求，摩根將停止使用其資料作直接促銷用途，並不會就此收取費用。

直接促銷：

1. 摩根擬將所收集的資料用作直接促銷用途，但除非已收到閣下的同意(當中包括表明不反對所擬定之用途)，否則不會使用資料作直接促銷用途。
2. 此外，摩根擬將所收集的資料提供予任何摩根實體的業務之全部或任何重大部分的所有或任何受讓人(「**受讓人**」)、服務供應商及相關第三者(包括顧問)(連同受讓人統稱「**有關各方**」)供其用作直接促銷用途。然而，除非已收到閣下的同意(當中包括表明不反對所擬定之提供)，否則不會提供資料予有關各方作直接促銷用途。
3. 摩根有意使用所收集的資料(包括但不限於閣下的姓名及聯絡資料(例如電話號碼、電郵地址及/或通訊地址))，或將之提供予所有或任何有關各方，以供其透過各種通訊方式(例如直郵函件、電郵、電話、短訊及小冊子)作以下直接促銷用途：
 - (a) 摩根及/或受讓人的財務策劃及投資、財富管理及相關服務及產品，及摩根及/或受讓人所提供的金融、投資及教育研討會及論壇或其他金融服務及產品；及
 - (b) 摩根及/或受讓人的新產品及服務推售及其他推廣優惠。

PERSONAL DATA PRIVACY STATEMENT

The following Personal Data Privacy Statement is provided to you pursuant to the Personal Data (Privacy) Ordinance of Hong Kong ("Ordinance") in connection with your dealings with, and provision of personal data or information ("Data") to, JPMorgan Funds (Asia) Limited ("JPMFAL") or its affiliates (together "JPMorgan") from time to time.

Collection:

1. From time to time, it is necessary for you to supply JPMorgan with Data in connection with various matters such as account opening or continuations, provision of services to you or compliance with any laws or guidelines issued by regulatory or other authorities.
2. The kinds of Data that may be collected includes, but is not limited to, name and address, occupation, contact details, date and country of birth, nationality, identity card, social security or national insurance numbers, country of tax residence, tax reference numbers or passport numbers, and details of financial status.
3. Failure to supply such Data may result in JPMorgan being unable to open an account or continue to provide services to you or unable to comply with any laws or regulations or guidelines and codes issued by regulatory or other authorities.
4. It is also the case that Data is collected from you in the ordinary course of the continuation of your relationship with JPMorgan, for example, when you open an account, write cheques, transfer funds, effect transactions, attend seminars/events, participate in online activities or generally communicate verbally or in writing with JPMorgan.

Purpose and Use:

1. The purposes for which Data may be used will vary depending on the nature of your relationship with JPMorgan. JPMorgan intends to use your Data (including any third party Data provided by you) for any or all of the following purposes:
 - (a) the processing of an application for an account with JPMFAL including confirming and verifying your identity;
 - (b) the daily operation of your account and the services to be provided to you;
 - (c) any purpose related to the administration of the products and services offered by JPMorgan;
 - (d) researching, designing and launching financial, investment services or related products for clients;
 - (e) meeting the disclosure, reporting and compliance requirements (including but not limited to tax reporting) under any laws or regulations, codes, guidelines or internal JPMorgan compliance policies applicable to JPMorgan in Hong Kong or elsewhere;
 - (f) promoting and direct marketing of the following services and products subject to your right to object to such use:
 - i) financial planning and investment, wealth management and related services and products;
 - ii) financial, investment and educational seminars and forums;
 - iii) other financial services and products offered by JPMorgan and/or any transferee of a whole or any substantial part of business of any JPMorgan entity;
 - (g) enabling:
 - i) any actual or proposed assignee(s) of JPMorgan;
 - ii) any actual or proposed participant(s), subparticipant(s) or transferee(s) of JPMorgan's rights or obligations with respect to you and/or the MasterAccount; and/or
 - iii) any person(s) in whose favour JPMorgan's obligations with respect to you and/or the MasterAccount are, or are to be, novated,to evaluate, execute and/or complete the transaction(s) intended to be the subject of any assignment, participation, subparticipation, transfer, novation or other similar arrangement; and
 - (h) any other purpose directly related to any of the above.
2. You have the right to object to the use of your Data for direct marketing purposes as set out in paragraph 1(f) above. JPMorgan will cease to use your Data for direct marketing purposes without charge if you so request.

Direct Marketing:

1. JPMorgan intends to use the Data collected for direct marketing but may not so use the Data unless your consent (which includes an indication of no objection to the intended use) is received.
2. Furthermore, JPMorgan intends to provide the Data collected to all or any of the transferees of a whole or any substantial part of business of any JPMorgan entity (the "Transferees"), service providers and related third parties (including consultants) (together with the Transferees, the "Parties") for use by them in direct marketing. However, the Data may not be so provided unless your consent (which includes an indication of no objection to the intended provision) is received.
3. JPMorgan would like to use the Data collected, including but not limited to your name and contact details (such as telephone number, email address and/or correspondence address), or provide the same to all or any of the Parties for the Parties' use, for the following direct marketing purposes through various communication means such as direct-mail, email, telephone, SMS and brochures:
 - (a) JPMorgan's and/or the Transferees' financial planning and investment, wealth management and related services and products, financial, investment and educational seminars and forums or other financial services and products offered by JPMorgan and/or the Transferees; and
 - (b) JPMorgan's and/or the Transferees' new product and service launch and other promotional offers.

保留及查閱：

1. 所收集的資料可於適用法律規定期間或為達致上述目的所需期間予以保留。
2. 摩根所持有關於申請人的資料將會保密，摩根將會採取一切合理措施，以確保資料保管妥善，而不會在未獲授權情況下被查閱、遺失、披露及銷毀。不論在香港境內或境外，本公司可為上文「目的及用途」及「直接促銷」兩節所載目的而向以下各方提供該等資訊：
 - (a) 本公司的最終控股公司、其附屬機構、代表辦事處、聯營公司及／或聯屬公司；
 - (b) 本公司的服務供應商（包括受託人、投資經理、過戶登記處、轉讓代理人、保管人、行政服務代理人及摩根所發售每種產品的核數師）；
 - (c) 任何就摩根的業務運作而向摩根提供行政管理、研究、設計、推售、數碼或電訊、結算及交收或其他服務的代理人、承辦商、分辦商、顧問、保險公司或第三者服務供應商；
 - (d) 本公司僱員、高級職員及董事；
 - (e) 任何根據法律或規例或因監管機構要求而有權索取資訊的一方（包括但不限於任何地方或外國政府、稅務或監管當局或司法管轄法院）；
 - (f) 摩根為上文「目的及用途」一節第1(f)段所載目的，就外判或其他服務而聘用的聯屬或非聯屬供應商及其他外間服務供應商（包括但不限於印刷公司、郵遞公司、數碼或電訊公司、資訊科技公司、資料儲存及基建公司、雲端服務供應商、資料處理公司及儲存公司）；及
 - (g) 任何摩根實際或建議的承讓人、任何摩根對於申請人及／或「綜合理財賬戶」的權利或義務的實際或建議的參與者、次參與者或受讓人，及／或任何摩根對於申請人及／或「綜合理財賬戶」的義務的更替方。
3. 請注意，轉移至香港境外的資料可能會受較低水平的保障及／或可能不受香港任何有關銀行資料保密制度、客戶資料保密制度或資料保障制度的法律之保障。
4. 根據條例，申請人有權：
 - (a) 查核摩根是否持有關於申請人的資料，以及查閱該等資料；
 - (b) 要求摩根更正任何有關申請人而不準確的資料；
 - (c) 確定摩根對資料的政策和慣例，並獲知會摩根所持有資料的種類；及
 - (d) 反對將資料用於直接促銷，經申請人向摩根提出反對後，摩根不得將其資料用於直接促銷。

根據上述條例的條款，本公司有權就處理任何查閱資料的要求徵收合理費用。

申請人如欲查閱摩根所持有的資料、更正該等資料、反對將資料用作直接促銷，或索取有關各項政策及慣例以及所持資料種類的資訊，請聯絡：

摩根基金（亞洲）有限公司

資料保障主任

香港中環干諾道中8號遮打大廈21樓

電話：(852) 2265 1188

傳真：(852) 2868 5013

本聲明一概不會限制申請人在上述條例下所享有的權利。

Retention and Access:

1. The Data collected may be maintained for such period of time required under applicable law and as otherwise needed to fulfil the purposes set out above.
2. Data held by JPMorgan relating to you will be kept confidential and JPMorgan will take all reasonable measures to ensure that Data is kept secure against unauthorised access, loss, disclosure and destruction. JPMFAL may provide such information to the following parties, whether inside or outside of Hong Kong, for the purposes set out in the "Purpose and Use" and "Direct Marketing" sections above:
 - (a) the ultimate holding company of JPMFAL, its subsidiaries, representative offices, associated companies and/or affiliates;
 - (b) the service providers of JPMFAL including the trustee, investment manager, registrar, transfer agent, the custodian, administrative service agent, and the auditor of each product offered by JPMorgan;
 - (c) any agent, contractor, subcontractor, consultant, insurer, or third party service provider who provides administrative, research, design, launch, digital or telecommunication, clearing and settlement or other services to JPMorgan in connection with the operation of its business;
 - (d) the employees, officers, directors of JPMFAL;
 - (e) any party (including but not limited to, any local or foreign governmental, tax or regulatory Authority, or court of competent jurisdiction) entitled thereto by law or regulation, or in response to a regulatory request;
 - (f) affiliated or unaffiliated providers of outsourced or other services, and other external service providers of JPMorgan (including but not limited to printing houses, mailing houses, digital or telecommunication companies, information technology companies, data storage and infrastructure companies, cloud providers, data processing companies and storage companies) that JPMorgan engages for the purposes set out in paragraph 1(f) in the "Purpose and Use" section above; and
 - (g) any actual or proposed assignee(s) of JPMorgan, any actual or proposed participant(s), subparticipant(s) or transferee(s) of JPMorgan's rights or obligations with respect to you and/or the MasterAccount, and/or any person(s) in whose favour JPMorgan's obligations with respect to you and/or the MasterAccount are or are to be novated.
3. Please note that the Data transferred outside of Hong Kong may be subject a lower level of protection and/or cease to be protected by any relevant banking secrecy, client confidentiality or data protection laws of Hong Kong.
4. Under the Ordinance, you have the right to:
 - (a) check whether JPMorgan holds Data about you, and access to such Data;
 - (b) require JPMorgan to correct any Data relating to you which is inaccurate;
 - (c) ascertain JPMorgan's policies and practices in relation to data and to be informed of the kinds of Data held by JPMorgan; and
 - (d) object to the use of your Data for direct marketing purposes and JPMorgan shall not use your Data for direct marketing purposes after you communicate your objection to JPMorgan.

In accordance with the terms of the Ordinance, JPMFAL has the right to charge a reasonable fee for the process of any data access request.

For access to your Data held by JPMorgan, correction of such Data, objection to use of your Data for direct marketing purposes or for information regarding policies and practices and kinds of Data held, please contact:

The Data Protection Officer
JPMorgan Funds (Asia) Limited
21st Floor, Chater House,
8 Connaught Road Central, Hong Kong
Telephone: (852) 2265 1188
Fax: (852) 2868 5013

Nothing in this statement shall limit your rights under the Ordinance.