

## **POINTS TO NOTE - POWER FUTURES**

Haitong International Futures Limited, A licensed corporation to carry on Type 2 (dealing in futures contracts) regulated activity for the purposes of the Securities and Futures Ordinance (Cap.571) (CE No.: AAX474) & a Futures Commission Merchant of Hong Kong Futures Exchange Limited

- I. Disclaimers
- II. Risk Disclosure Statement
- III. Disclaimer for Real Time Service
- IV. Data Privacy Policy of Haitong International Securities Group Limited and its subsidiaries ("HTISG")
  - I. Disclaimers
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  - II. Risk Disclosure Statement
    1. The account holder is the only authorised user of the Electronic Services. You, as the account holder, shall be wholly and solely responsible for the

confidentiality, security and use of the Access Codes issued to you by our Company. Our Company shall not be liable for any loss or damage you may suffer as a result of unauthorised using or attempting to use the Electronic Services.

2. If you undertake transactions on an electronic trading system, you will be exposed to risks associated with the system including the failure of hardware and software. The result of any system failure may be that your order is either not executed according to your instruction or is not executed at all.
3. Electronic trading facilities are supported by computer-based component system for the order-routing, execution, matching, registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption or failure. Your ability to recover certain losses may be subject to limits on liability imposed by the system provider, the market, the clearing house and or participant firms. Such limits may vary.
4. Due to unpredictable traffic congestion and other reasons, electronic transmission may not be a reliable medium of communication. Transactions conducted via electronic means are subject to delays in transmission and receipt of your instruction or other information, delays in execution or execution of your instructions at prices different from those prevailing at the time your instructions were given, transmission interruption or blackout. There are risks of misunderstanding or errors in communication.
5. You are strongly advised to review every instruction before entering it as it may not be possible to cancel your instruction once given.
6. Our Company does not guarantee the timeliness, sequence, accuracy or completeness of market data or any market information including any information provided to you through the electronic trading system. Our Company shall not be liable in any way for any loss arising from or caused by (1) any inaccuracy, error in or omission from any such data, information or message; (2) any delay in the transmission or delivery thereof; (3) any suspension or congestion in communication; (4) any unavailability or interruption of any such data, message or information whether due to any act of our Company; or (5) by any forces beyond the control of our Company.

### III. Disclaimer for Real Time Service

HAITONG INTERNATIONAL SECURITIES COMPANY LIMITED, HAITONG INTERNATIONAL FUTURES LIMITED, HAITONG INTERNATIONAL ON-LINE SERVICES LIMITED, HKE<sub>x</sub> INFORMATION SERVICES LIMITED, THE STOCK EXCHANGE OF HONG KONG LIMITED AND HONG KONG FUTURES EXCHANGE LIMITED ENDEAVOUR TO ENSURE THE ACCURACY AND RELIABILITY OF THE INFORMATION PROVIDED BUT DO NOT GUARANTEE ITS ACCURACY OR RELIABILITY AND ACCEPTS NO LIABILITY (WHETHER IN TORT OR CONTRACT OR OTHERWISE) FOR ANY LOSS OR DAMAGE ARISING FROM INACCURACIES OR OMISSIONS.

#### IV. Data Privacy Policy of Haitong International Securities Group Limited and its subsidiaries ("HTISG")

At HTISG, we want to provide the best service possible to our customers.

One way that we do this is by using customer information to provide our customers with convenient access to the right products and services. We also recognize that our customers have important expectations regarding the use of that information.

Safeguarding customer information is a matter that we take seriously. That is why we at HTISG have set forth the following principles to affirm our long-standing commitment to confidentiality:

- From time to time, it is necessary for customers who are individuals to supply HTISG with data which are personal data ("Data") for the purposes of the Personal Data (Privacy) Ordinance (Cap. 486 of the laws of Hong Kong). The purposes for which Data (and other information) relating to customers may be used are as follows:
  1. the daily operation of the services and facilities provided to customers;
  2. conducting credit checks;
  3. assisting other institutions to conduct credit checks;
  4. ensuring customers' ongoing credit worthiness;
  5. designing financial services or related products for customers' use;
  6. marketing financial services or related products to customers;
  7. determining the amount of indebtedness owed to or by customers;
  8. meeting the requirements to make disclosure under the requirements of any law or regulations; and
  9. any purposes relating to any of the foregoing.
- Data (and other information) held by HTISG relating to customers will be kept confidential but HTISG may disclose, and it is a condition of HTISG providing services, products and information to customers that each customer consents to the disclosure of, all Data (and other information) to:
  1. any officer, employee, agent, contractor or third party who provides administrative, credit information, debt collection, telecommunications, computer, payment or other services to HTISG in connection with the operation of their business;
  2. any financial institution with which the customer has or proposes to have dealings;
  3. regulatory authorities and other relevant government bodies;
  4. any other person under a duty of confidentiality to HTISG including a company within HTISG which has undertaken to keep such information confidential.
  5. We share information regarding customers among HTISG only in accordance with strict internal security standards and confidentiality policies and with applicable law.
  6. We hold our employees fully accountable for adhering to those standards, policies and laws.

7. We do not share information about our customers with other companies except in order to conduct our business, comply with applicable law, protect against fraud or make available special offers of products and services that we feel may be of interest to our customers. We may also provide information to regulatory authorities and law enforcement officials in accordance with applicable law.
8. We have established high standards for protecting information regarding our customers from unauthorized alteration or destruction.

HTISG may, in accordance with the Personal Data (Privacy) Ordinance and any other applicable law:

- match, compare or exchange any Data or other information provided by, or in respect of, a customer with Data (or other information) held by HTISG or any other person for the purpose of:
  1. credit checking;
  2. Data (and other information) verification;
  3. otherwise producing or verifying Data (and other information) which may be used for the purpose of taking adverse action against the customer or any other person at any time;
- transfer such Data (and other information) to any place outside Hong Kong (whether for the processing, holding or use of such Data (and other information) outside Hong Kong).

Under and in accordance with the terms of the Personal Data (Privacy) Ordinance each customer has a right to:

- check whether HTISG hold Data about the customer and the right of access to such Data;
- require HTISG to correct any Data relating to the customer which is inaccurate; and
- ascertain HTISG's policies and practices in relation to Data and to be informed of the kind of personal data relating to the customer held by HTISG.

Request for access and/or correct any data that customer has submitted shall be e-mailed to [online@htisec.com](mailto:online@htisec.com)

In accordance with the terms of the Personal Data (Privacy) Ordinance, HTISG has the right to charge a reasonable fee for the processing of any Data access request.

At HTISG, information regarding our customers is used solely in the legitimate conduct of our business, to deliver superior service and to design products and special offers that demonstrate our understanding of our customers and their needs.

As we move forward in developing new products and services in an era of vast technological change, we will continue to maintain our dedication to assuring that customer information is properly used and appropriately safeguarded.

## 期貨至尊寶注意事項

海通國際期貨有限公司，為一間核准從事證券及期貨條例(香港法例第五七一章)中第二類受規管活動(期貨合約交易)之持牌法團(中央編號: AAX474)及香港期貨交易所有限公司註冊的代理商。

請細閱以下內容:

- I. 免責聲明
  - II. 風險披露
  - III. 即時報價服務之免責聲明
  - IV. 海通國際證券集團有限公司及其附屬公司(「海通國際證券集團」)之個人資料私隱政策
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- I. 免責聲明
    1. 本網頁/系統所提供之金融市場數據、報價、消息、研究及其他資料(包括圖表影象)(「資料」)均為海通國際證券集團有限公司、其附屬公司(統稱「海通國際證券集團」)、其資料供應商或其認可者之財產，並受到適用之版權法例所保護。此等資料均不得未經海通國際證券集團之事先書面同意而以任何形式複製、傳送、傳播、出售、分發、出版、廣播、傳閱、貯存作其後使用或作任何商業用途。
    2. 此內所載之資料乃得自可靠之來源，惟海通國際證券集團、其資料供應商及其認可者並不聲明、保證或承諾此等資料在任何特定用途上俱為準確、完整、及時、可靠或適當。海通國際證券集團、其資料供應商及其認可者並不會對閣下及/或任何第三者負上因使用本網頁、或倚賴任何本網頁提供之資料或服務而引致之民事侵權行為責任、合約責任或任何其他責任。海通國際證券集團、其資料供應商及其認可者在任何情況下均不會因任何損失利潤或損失機會、或任何間接、特別、隨之發生的、偶發性或懲罰性損害賠償而對閣下及/或任何第三者承擔責任，即使海通國際證券集團、資料供應商或認可者事前已獲悉此等賠償之可能性。
    3. 海通國際證券集團可隨時終止或更改本網頁所提供之資料、產品或服務，而毋須事先通知閣下。
    4. 本網頁並不包含在任何司法管轄區(包括但不限於美國及英國)作任何證券、產品或服務之要約或招攬(該等司法管轄區對於證券、產品或服務的要約或銷售並非獲准或豁免於規例，或受法例禁止)。此外，並非所有國家可獲得本網頁所提供之證券，產品或服務。
  - II. 風險披露
    1. 閣下作為賬戶持有人為電子服務之唯一授權使用者，將會對本公司發給的交易密碼之保密、安全和使用自行承擔全部責

任。本公司不會就閣下因其他人仕未經授權使用或嘗試使用電子服務可能遭受的任何損失或損害承擔責任。

2. 倘若閣下透過電子交易系統進行交易，閣下將會承受系統相關的風險，包括硬件和軟件發生故障的風險。任何系統發生故障的後果可能使閣下的指示不能按其指令執行或者根本沒有被執行。
3. 電子交易的設施是以電腦組成系統來進行交易指示傳遞、執行、配對、登記或交易結算。然而，所有設施及系統均有可能會暫時中斷或失靈，而閣下就此所能獲得的賠償或會受制於系統供應商、市場、結算公司及／或參與者商號就其所承擔的責任所施加的限制。這些責任限制可以各有不同。
4. 由於無法預計的通訊阻塞或其他原因，電子傳送不一定是一種可靠的通訊方法。通過電子工具進行的交易，在傳送和接收閣下指示或其他資料時會出現延遲，在執行閣下指示時會出現延遲或以不同於閣下發出指示時的價格執行閣下的指示，通訊設施亦會出現故障或中斷。電子傳送存在通訊中之誤解或錯誤的風險。
5. 本公司慎重建議閣下在輸入每個指示之前會加以覆核，因為指示一經作出，便可能無法取消。
6. 本公司不會保證市場數據或任何市場資料(包括透過電子服務提供給閣下的任何資料)的及時性、次序、準確性或完整性。本公司對下述事項所引起或造成之任何損失概不承擔任何責任：(1)任何上述數據、資料或信息的不準確性、錯誤或遺漏；(2)上述數據、資料或信息之傳送或交付延誤；(3)通訊中斷或阻塞；(4)不論是否由於本公司的行為所致之該等數據、資料或信息的無法提供或中斷；或(5)本公司無法控制的外力。

### III. 即時報價服務之免責聲明

海通國際證券有限公司、海通國際期貨有限公司、海通國際電子網上服務有限公司、香港交易所資訊服務有限公司、香港聯合交易所有限公司及香港期貨交易所有限公司盡力確保所提供之資料準確及可靠，但不保證該等資料之準確性或可靠性，亦不對任何因資料不確或遺漏所引致之損失或損害承擔任何責任(不論是民事侵權行為責任或合約責任或其他責任)。

### IV. 海通國際證券集團有限公司及其附屬公司(「海通國際證券集團」)之個人資料私隱政策

海通國際證券集團一直致力為客戶提供最佳之服務。要達到此一目的，其中一個途徑就是利用客戶的資料，為客戶提供最方便的途徑，獲得合適的產品和服務，我們亦明白到客戶對於其個人資料的使用非常關注。

保護客戶資料乃是我們一直認真處理的事項。因此，海通國際證券集團訂立了以下守則，矢志承諾對客戶的資料保密：

- 無論任何時候，個人名義的客戶均需要向海通國際證券集團提供個人資料(「資料」)，以作個人資料(私隱)條例(《香港法例》第486章)下之用途。有關客戶的資料(或其他資料)可能用於以下用途：
  1. 向客戶提供之服務及設施之日常運作；
  2. 進行信貸審查；
  3. 協助其他機構進行信貸審查；
  4. 確保客戶的信用維持良好；
  5. 設計供客戶使用之金融服務或相關產品；
  6. 向客戶推廣金融服務及相關產品；
  7. 釐定拖欠客戶或客戶拖欠之債務金額；
  8. 根據任何法例或規例之規定，符合作出披露之要求；及
  9. 與任何前述部份有關之任何用途。
  
- 海通國際證券集團持有之客戶有關的資料(及其他資料)將會保密，但海通國際證券集團可向以下人士披露所有資料(及其他資料)，而客戶同意披露所有資料(及其他資料)亦是海通國際證券集團向客戶提供服務、產品及資料之條件：
  1. 任何向海通國際證券集團提供有關其業務運作之行政、信貸資料、債務追討、電訊、電腦、繳款或其他服務之高級職員、僱員、代理、承包商或第三者；
  2. 客戶已有或擬與之進行交易之任何金融機構；
  3. 監管當局及其他有關政府機構；
  4. 任何有責任為海通國際證券集團保密之其他人士，包括海通國際證券集團以內承諾保持此等資料機密之公司。
  5. 海通國際證券集團內公司之間對客戶之資料使用，須依據嚴格之內部安全標準、保密政策及適用法律。
  6. 我們約束僱員完全遵守該等標準、政策及法律。
  7. 除為了進行業務、遵守適用法律、保護免受欺詐或作出我們認為可能符合客戶利益之產品及服務優惠外，我們不會將有關客戶的資料分發予其他公司。我們亦可依據適用法律向監管當局及執法人員提供資料。
  8. 我們訂立了極高標準，以保護客戶的資料免受未經授權之更改或破壞。

海通國際證券集團可依據個人資料(私隱)條例及其他適用法律進行以下活動：

- 將客戶提供或有關客戶之任何資料或其他資料，與海通國際證券集團或任何其他人士持有之資料(或其他資料)進行配對、比較或交換，以作以下用途：
  1. 信貸審查；
  2. 資料(或其他資料)核對；
  3. 或，提出或核對資料(或其他資料)，該等資料可能用於在任何時候採取對客戶或任何其他人士不利的行動；
- 將此等資料(或其他資料)轉往香港以外任何地方(不論在香港以外處理、持有或使用此等資料(或其他資料))。

根據及依據個人資料(私隱)條例之條款，每位客戶均有權：

- 檢查海通國際證券集團是否持有有關客戶之資料，及是否有權使用此等資料；
- 要求海通國際證券集團更改有關客戶之任何錯誤資料；及
- 確定海通國際證券集團有關資料之政策及做法，以及獲知海通國際證券集團持有有關客戶之個人資料種類。

查閱及/或改正客戶所提交之任何資料的要求交送交 [online@htisec.com](mailto:online@htisec.com).

依據個人資料(私隱)條例之條款，海通國際證券集團有權就處理任何資料索取查閱之申請收取合理費用。

在海通國際證券集團，有關客戶之資料只會用於進行本身業務的合法用途，以提供優質服務，及進行產品設計及優惠，從而顯示我們明白客戶及其需要。

隨著我們會在新科技年代進一步發展新產品和服務，我們會繼續竭力確保客戶的資料會被正確使用及受到適當保護。