

GDPR Privacy Statement  
歐盟個人資料保護規則(GDPR)隱私權聲明

SinoPac Securities has issued below the privacy statement in light of the Personal Information Protection Act and the enactment of the General Data Protection Regulation (GDPR), the new data protection and privacy regulation of the European Union (EU). Although the GDPR is an EU regulation, it is relevant for SinoPac Securities' s customers who live in the European Union member countries, Iceland, Liechtenstein and Norway.

鑒於個人資料保護法和歐盟新頒布之個人資料保護規則(General Data Protection Regulation, 以下稱 GDPR)，永豐金證券已發佈隱私權聲明如下。GDPR雖為歐盟規範，卻與居住於歐盟成員國家，以及冰島、列支敦士登和挪威境內的永豐金證券客戶相關。

This privacy statement sets out what personal data SinoPac Securities collects from you, what is the personal data used for and the safeguard we put in place, your rights and how to lodge a complaint.

本隱私權聲明載明本公司從您蒐集之個人資料，個資使用的目的、本公司現有的個資保障措施，您的權利以及如何提出客訴。

**What Personal Data we collect 本公司蒐集之個人資料**

In order to meet the local and EU data protection requirements, SinoPac Securities may collect some or all of following personal data from you whether you are in European Union or outside the EU, either by ways of automatic, semi-automatic or manual measures of collection of personal data from time to time:

為符合台灣及歐盟個資保護需求，本公司可能隨時蒐集下方列出的您的部分或全部個人資料，不論您身處歐盟，或非歐盟區，亦或透過自動、半自動或手動的方式蒐集您的個人資料：

- 1) Name 姓名
- 2) Home Address 住家地址
- 3) ID identification No /Passport No /Driver' s License No  
身分證明文件號碼/護照號碼/駕照號碼
- 4) Contact numbers (home number, mobile number, work number or fax numbers)  
電話 (住家電話、行動電話、辦公室電話或傳真號碼)
- 5) Date of Birth 生日
- 6) Birth place 出生地
- 7) Email address (whether it is personal or business) 電子郵件(私人或商業信箱)
- 8) Occupation 職業
- 9) Gender 性別
- 10) Citizenship 國籍
- 11) Resident certificate 居留證
- 12) Bank details 銀行資訊

14) Financial information 金融資訊

15) Family information (if required) 家庭資訊(若有需要)

16) Background check information (if required) 徵信審查(若有需要)

17) Visual image 影像

Additionally, we may monitor or record phone calls with individuals in case the we need to check we have carried out customers instruction correctly, to resolve queries or issues, for regulatory purposes, to help improve SinoPac Securities' s quality of service, and to help detect or prevent frauds. Conversations may also be monitored for staff training purposes.

除此之外，本公司可能監控或紀錄本公司與您的通話紀錄，以防本公司需要檢視是否正確執行了客戶的指示，解決疑問或問題以符監管目的，以幫助提高本公司的服務品質，並幫助檢測或防止欺詐行為。為了員工培訓之目的，對話也可能受到監控。

For the protection of safety of our customers, visitors and employees, we also operate CCTV in our premises.

為了保護我們的客戶，訪客和員工的安全，本公司在我們的營運場所裝有監視錄影設備，以符法定義務。

#### **Purposes of Data Collection 資料蒐集之目的**

SinoPac Securities may use collected Personal Data for the following purposes:

- Regulatory requirements on the prevention and detection of crime and KYC purpose (such as Money Laundering Regulations 2017)
- Legal obligation for business accounting and tax purposes
- Verification of identity
- Internal record-keeping
- Internal controls
- Internal training
- Credit or background checks
- Performance of a contract

本公司可能使用所蒐集到您的個人資料作為以下目的使用：

- 關於預防和發現犯罪和KYC(認識你的客戶)之目的的監管要求(例如防制洗錢法等規範)
- 商業會計和稅務之法定義務
- 身分驗證
- 內部紀錄補存
- 內部控制
- 內部培訓
- 徵信審查
- 履行貴我雙方之契約

Based on the GDPR, you will have the following rights:

- The right of access - according to Article 15 of the GDPR.
- The right to rectification - according to Article 16 of the GDPR.
- The right to erasure - according to Article 17 of the GDPR.

- The right to object – according to Article 21 of the GDPR.
- The right to restrict processing – according to Article 18 of the GDPR.
- The right to data portability – according to Article 20 of the GDPR.

(The right to restrict processing and The right to data portability are only applicable to personal data provided by residents of the European Economic Area and residents of the European Economic Area from within the European Union)

根據GDPR，您會有以下權利：

- 接近使用權 – 根據GDPR第15條。
- 更正權 – 根據GDPR第16條。
- 刪除權 – 根據GDPR第17條。
- 拒絕權 – 根據GDPR第21條。
- 限制處理權 – 根據GDPR第18條。
- 資料可攜性權利 – 根據GDPR第20條。

(限制處理權及資料可攜權，僅適用於歐洲經濟區居民及來自歐盟境內的歐洲經濟區居民所提供之個人資料適用)

On grounds relating to your particular situation, you shall have the right of objection to processing of your personal data at any time, in line with Article 6 paragraph 1 subparagraph e of the GDPR (data processing in the public interest) and Article 6 paragraph 1 subparagraph f of the GDPR (data processing based on balancing interests). This also applies to profiling based on this provision in terms of Article 4 paragraph 4 of the GDPR.

由於您個人的特殊情況，且符合GDPR第6條第1項第e款(資料處理係為符合公共利益)及第6條第1項第f款(資料處理依據平衡利益)相關規定，您應有權利得隨時拒絕處理您個人資料。這亦適用於根據GDPR第4條第4項規定所執行的蒐集、利用、處理(profiling)。

You have the right to request access to and correction of personal data. If you believe any information we hold on you is incorrect or incomplete, we will strive to update/correct it as quickly as possible unless there is a valid reason for not doing so, at which point you will be notified. We will not store your personal data for longer than is necessary for the maintenance of your account or for the legal or regulatory requirements. We have strict retention period in place to meet these obligations.

您有權利要求接近和更正個人資料，本公司將依個人資料保護法及相關法令規範，決定是否受理您的申請。除法令另有規定外，我們將於蒐集之特定目的達成或消滅後，依本公司內部規定將您的個人資料銷毀刪除。

SinoPac Securities will update the Privacy Statement as soon as possible in the event a modification is required in response to changes in the society or laws, and will publicize the modified measure on the company website or on an obvious spot at the place of business. This Privacy statement was updated in June 2018.

此隱私權聲明若因社會環境及法令變遷而修改，本公司將儘速更新，並透過公司網頁或於營業處所內明顯位置公告。本隱私權聲明於2018年6月修訂。

## Contact

*If you have further questions, you can reach our customer service center at:*

若有任何問題，請聯繫本公司客服：

SinoPac Securities

永豐金證券

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