

Personal Information Collection Statement

1. This Personal Information Collection Statement (PICS) is made in accordance with the guidelines issued by the Office of the Privacy Commissioner for Personal Data. This PICS sets out the policies and practices of the Securities and Futures Commission (the SFC) with respect to the SFC's use of your Personal Data¹ for the purposes identified below, and your rights under the Personal Data (Privacy) Ordinance (Cap 486) (PDPO).

Purpose of Collection

2. The Personal Data provided at registration to obtain a Short Position Reporting ID (SPRID) and submission of a Reportable Short Position Form (the Form) will be used by the SFC for one or more of the following purposes:
 - (a) To administer the relevant provisions² which include the Securities and Futures (Short Position Reporting) Rules (Cap. 571 sub. leg. AJ) (the Rules), and codes and guidelines published by the SFC;
 - (b) In performing the SFC's statutory functions under the relevant provisions;
 - (c) For research and statistical purposes;
 - (d) For other purposes permitted by law.

¹ Personal Data means personal data as defined in the Personal Data (Privacy) Ordinance (Cap. 486),

² Defined in Schedule 1 to the Securities and Futures Ordinance (Cap. 571).



Transfer of Personal Data

3. Personal Data may be disclosed by the SFC to other financial regulators in Hong Kong (including the Hong Kong Exchanges and Clearing Limited and the Hong Kong Monetary Authority), the Hong Kong Police Force, the Customs and Excise Department, overseas regulatory bodies and other government bodies as required under the law or pursuant to any regulatory/investigatory assistance arrangements between the SFC and other regulators (local/overseas).

Access to Data

4. You have the right to request access to and correction of your Personal Data in accordance with the provisions of the PDPO. Your right of access includes the right to obtain a copy of your Personal Data provided at registration to obtain a SPRID and/or in relation to submitting a Form. The SFC has the right to charge a reasonable fee for processing of any data access request.

Retention

5. Personal Data provided to the SFC will be retained for such period as may be necessary for the proper discharge of the SFC's functions.

Enquiries

6. Any enquiries regarding the Personal Data provided at registration to obtain a SPRID and/or in relation to submitting a Form, or requests for access to Personal Data or correction of Personal Data, should be addressed in writing to:-

The Data Privacy Officer
Securities and Futures Commission
54/F, One Island East
18 Westlands Road, Quarry Bay, Hong Kong

A copy of the Privacy Policy Statement adopted by the SFC is available upon request.