

有關香港投資者識別碼制度及場外證券交易匯報制度的客戶同意書  
Client Consent Letter under the Hong Kong Investor Identification Regime and  
Over-the-Counter Securities Transactions Reporting Regime

**收集及使用個人資料的目的 Purposes of Personal Data Collection and Use**

閣下明白並同意，我們（中順證券期貨有限公司）為了向閣下提供與在聯交所上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證監會的規則和規定，我們可收集、儲存、處理、使用、披露及轉移與閣下有關的個人資料（包括閣下的券商客戶編碼及客戶識別信息）。在不限制以上的內容的前提下，當中包括：

You acknowledge and agree that we, Sino-Rich Securities & Futures Limited, may collect, store, process, use, disclose and transfer personal data relating to you (including your BCAN and CID) as required for us to provide services to you in relation to securities listed or traded on SEHK and for complying with the rules and requirements of SEHK and the SFC in effect from time to time. Without limiting the foregoing, this includes:

- (a) 根據不時生效的聯交所及證監會規則和規定，向聯交所及 / 或證監會披露及轉移閣下的個人資料（包括閣下的券商客戶編碼及客戶識別信息）；  
disclosing and transferring your personal data (including your BCAN and CID) to the SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;
- (b) 允許聯交所 (i) 收集、儲存、處理及使用閣下的個人資料（包括閣下的券商客戶編碼及客戶識別信息），以便監察和監管市場及執行《聯交所規則》； (ii) 向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能及 (iii) 為監察市場目的而使用有關資料進行分析；  
allowing the SEHK to (i) collect, store, process and use your personal data (including your BCAN and CID) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of the SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets and (iii) use such information for conducting analysis for the purposes of market oversight;
- (c) 允許證監會 (i) 收集、儲存、處理及使用閣下的個人資料（包括閣下的券商客戶編碼及客戶識別信息），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及 (ii) 根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料；  
allowing the SFC to (i) collect, store, process and use your personal data (including your BCAN and CID) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements;
- (d) 向中央結算提供券商客戶編碼以允許中央結算: (i) 從聯交所（其獲允許披露及轉移給中央結算）取得、處理及儲存屬於閣下的客戶識別信息，及向發行人的股份過戶登記處轉移閣下的客戶識別信息，以便核實閣下未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及 (ii) 處理及儲存閣下的客戶識別信息，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移閣下的客戶識別信息，以便處理閣下對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。  
providing BCAN to the HKSCC, allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store your CID and transfer your CID to the issuer's share registrar to enable HKSCC and/or the issuer's share registrar to verify that you have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store your CID and transfer your CID to the issuer, the issuer's share registrar, SFC, SEHK and any other parties involved in the IPO for the purposes of processing your application for the relevant share subscription or any other purposes set out in the IPO issuer's prospectus.

閣下亦同意，即使閣下其後宣稱撤回同意，我們在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

#### **未能提供個人資料或同意的後果 Consequences of Failure to Provide Personal Data or Consent**

閣下如未能向我們提供個人資料或上述同意，可能意味著我們不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

Failure to provide us with your personal data or consent as described above may mean that we will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

#### **個人資料的變更或增加 Change or Addition to Personal Data**

當閣下的個人資料發生變化或增加時，閣下必須及時（在任何情況下，不遲於變化或增加之日起三十（30）個曆日）向我們更新該變化或增加。

When there is a change or addition to your personal data, you must update us promptly (and in any event no later than thirty (30) calendar days from the date of the change or addition) of the change or addition.

#### **確認和同意 Acknowledgement and Consent**

本人/吾等確認，本人/吾等已閱讀並了解此關於香港投資者識別碼制度及場外證券交易匯報制度的《客戶同意書》之內容。

I / We hereby acknowledge I / we have read and understood the content of this Client Consent Letter under the Hong Kong Investor Identification Regime and Over-the-Counter Securities Transactions Reporting Regime.

本人/吾等表示本人/吾等同意中順證券期貨有限公司根據此《客戶同意書》所載的條款和目的收集、儲存、處理、使用、披露及轉移本人/吾等之個人資料。

I / We signify my / our consent for Sino-Rich Securities & Futures Limited to collect, store, process, use, disclose and transfer my / our personal data on the terms of and for the purposes set out in this Client Consent Letter .

本人/吾等在此確認，截至此關於香港投資者識別碼制度及場外證券交易匯報制度的《客戶同意書》之日期，本人/吾等向中順證券期貨有限公司提供的個人資料仍然是準確和完整的。

I / We hereby confirm that the personal data provided with Sino-Rich Securities & Futures Limited remains accurate and complete as at the date of this Client Consent Letter.