

中華通北向交易買賣（投資者識別碼模式）及個人資料收集聲明

Client Consent on Northbound China Stock Connect Orders (Investor Identification Model) and the Personal Information Collection Statement

處理客戶資料作為中華通北向交易的一部份

Processing of Personal Data as part of the Stock Connect Northbound Trading

以下段落使用的術語，與聯交所規則內的術語具有相同的含義。如中、英文兩個版本有任何抵觸或不相符之處，應以英文版本為準。

Capitalized terms used below shall have the same meanings as defined in the Rules of The Stock Exchange of Hong Kong Limited. If there is any inconsistency or ambiguity between the English version and Chinese version, the English version shall prevail.

本人確認及同意國元證券經紀(香港)有限公司向本人提供中華通北向交易服務時，國元證券經紀(香港)有限公司（「國元證券經紀」）將須：

You acknowledge and agree that in providing our Stock Connect Northbound Trading Service to you, **Guoyuan Securities Brokerage (Hong Kong) Limited** (“**Guoyuan**”) will be required to:

- (i) 使用本人獨有的由券商向客戶分配的編碼（「券商客戶編碼」），標記本人向中華通交易系统遞交的每項買賣盤；及 tag each of your orders submitted to the CSC with [a Broker-to-Client Assigned Number (“**BCAN**”) that is unique to you; and
- (ii) 向交易所提供交易所根據交易所規則可能不時要求有關本人的獲分配券商客戶編碼及相關識別信息（「客戶識別信息」）。
provide to the Exchange your assigned BCAN and such identification information (“**Client Identification Data**” or “**CID**”) relating to you as the Exchange may request from time to time under the Rules of the Exchange.

在不受限國元證券經紀因就本人的賬戶及向本人提供服務而處理的資料，而由國元證券經紀向本人發出的任何通知或國元證券經紀從本人取得的同意下，本人確認及同意，作為國元證券經紀提供中華通北向交易服務的一部份，國元證券經紀可按要求收集、儲存、使用、披露及轉移有關本人的所有資料，其中包括以下各項：

Without limitation to any notification Guoyuan have given you or consent Guoyuan have obtained from you in respect of the processing of your personal data in connection with your account and our services to you, you acknowledge and agree that Guoyuan may collect, store, use, disclose and transfer personal data relating to you as required as part of our Stock Connect Northbound Trading Service, including as follows:

- (a) 不時向交易所及相關聯交所子公司披露及轉移本人的券商客戶編碼及客戶識別信息，包括在向中華通交易系统輸入中華通指令時指明本人的券商客戶編碼，該等資料將實時進一步發送至相關中華通市場營運者；
to disclose and transfer your BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating your BCAN when inputting a China Connect Order into the CSC, which will be further routed to the relevant

China Connect Market Operator on a real-time basis;

- (b) 准許各間交易所及相關聯交所子公司：(i)收集、使用及儲存本人的券商客戶編碼、客戶識別信息及由相關中華通結算所提供的任何綜合、核實及配對的券商客戶編碼及客戶識別信息資料（就儲存而言，由任何一間交易所或港交所進行），以作市場監察及監督以及執行聯交所規則目的；(ii)為下文(c)及(d)項所載之目的，不時轉移該等資料予相關中華通市場營運者（直接或透過相關中華通結算所）；及(iii)向香港的相關監管機構及執法機關披露該等資料，以協助履行相關機構在香港金融市場的法定職能；

to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store your BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via HKEX) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Connect Market Operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;

- (c) 准許相關中華通結算所：(i)收集、使用及儲存本人的券商客戶編碼及客戶識別信息，以促進綜合及核實券商客戶編碼及客戶識別信息，以及將券商客戶編碼及客戶識別信息配合其投資者識別數據庫進行配對，並向相關中華通市場營運者、交易所及相關聯交所子公司提供該等綜合、核實及配對券商客戶編碼及客戶識別信息資料；(ii)使用本人的券商客戶編碼及客戶識別信息，以履行其證券賬戶管理的規管職能；及(iii)向擁有司法管轄權的內地監管機構及執法機關披露該等資料，以協助相關機構履行對內地金融市場的規管、監察及執法職能；及

to allow the relevant China Connect Clearing House to: (i) collect, use and store your BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator, the Exchange and the relevant SEHK Subsidiary; (ii) use your BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and

- (d) 准許相關中華通市場營運者：(i)收集、使用及儲存本人的券商客戶編碼及客戶識別信息，以便通過使用中華通服務及執行相關中華通市場營運商規則，監察及監管相關中華通市場的證券交易；及(ii)向內地監管機構及執法機關披露通過就有關中華通證券的任何交易向國元證券經紀發出指示。

to allow the relevant China Connect Market Operator to: (i) collect, use and store your BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets.

通過就有關中華通證券的任何交易向國元證券經紀(香港)有限公司可使用本人/吾等的個人資料，以遵守交易所的規定及有關中華通北向交易不時生效的規則。本人/吾等亦確認，即使本人/吾等其後表示有意撤回同意，本人/吾等的個人資料仍可能繼續被儲存、使用、披露、轉移及以其他方式處理以達到上述目的，不論是在表示有意撤回同意之前或之後亦然。

By instructing us in respect of any transaction relating to China Connect Securities, you acknowledge and agree that Guoyuan may use your personal data for the purposes of complying with the requirements of the Exchange and its rules as in force from time to time in connection with the Stock Connect Northbound Trading. You also acknowledge that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.

未能提供資料或同意的後果 Consequences of failing to provide Personal Data or Consent

未能如上所述向國元證券經紀提供本人的所有資料或同意，則國元證券經紀可能不會或不能繼續（視情況而定）執行本人的交易指示或向本人提供中華通北向交易服務。

Failure to provide us with your personal data or consent as described above may mean that Guoyuan will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with our Stock Connect Northbound Trading Service.

確認及同意 Acknowledgement and Consent

本人/公司確認已閱讀及理解國元證券經紀(香港)有限公司的資料收集聲明的內容。一經勾選下列方框，即表示本人同意國元證券經紀(香港)有限公司根據資料收集聲明的條款及其中所載目的使用我的資料。

I/We acknowledge I have read and understand the content of the Personal Information Collection Statement of Guoyuan Securities Brokerage (Hong Kong) Limited. By ticking the box below, I signify my consent for Guoyuan Securities Brokerage (Hong Kong) Limited to use my personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

本人/公司同意國元證券經紀(香港)有限公司將資料用於資料收集聲明所載目的。

I/We agree to Guoyuan Securities Brokerage (Hong Kong) Limited's use of my personal data for the purposes set out in the Personal Information Collection Statement.



S.V.

客戶簽署 Signed by

(公司客戶加蓋公司印章 Please sign with company chop for corporate clients)

客戶姓名 Client Name: _____

帳戶號碼 Account No. : _____

日期 Date: _____

以下只供內部填寫：

BCAN 客戶類別

客戶情況	客戶類別	勾選
個人帳戶	1	
聯名帳戶	2	
基金公司	3	
基金經理 / 其他機構	4	
國元自營/聯屬公司	5	

只適用於行家戶口

<input type="checkbox"/> CCEP (會員編號：)	帳戶用途 (只供緊急備用)	<input type="checkbox"/> TTEP (會員編號：)	帳戶類型： <input type="checkbox"/> 客戶帳戶 (Client Account) <input type="checkbox"/> 自營帳戶 (House Account)
	<input type="checkbox"/> 系統失靈		
	<input type="checkbox"/> 網絡斷線		
	<input type="checkbox"/> 其他 (請提供：)		

只供內部使用			
資料/簽署核實	審批	錄入	覆核
客服人員	負責人員	結算人員	