



Client Consent Letter under the Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR)

香港投資者識別碼制度及場外證券交易匯報制度-客戶同意書

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

以下段落使用的術語，與香港聯合交易所及證券及期貨事務監察委員會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。

You acknowledge and agree that CTBC ASIA LIMITED may collect, store, process, use, disclose and transfer personal data relating to you (including your Client Identification Data (CID)) and Broker-to-Client Assigned Number (BCAN(s))) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes -

閣下明白並同意，中國信託綜合證券(香港)有限公司為了向閣下提供與在香港聯合交易所（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券及期貨事務監察委員會（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（包括閣下的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中包括——

(a) disclosing and transferring your personal data as follow (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;

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以下閣下的個人資料（包括客戶識別信息及券商客戶編碼）；

(i) For an individual client, his or her:

就個人客戶而言：

• full name as shown on his or her identity document;

身分證明文件上所示的全名；

• identity document's issuing country or jurisdiction;

身分證明文件的簽發國家或司法管轄區；

• identity document type (order of priority: (1) HKID card; (2) national identification document;

(3) passport); and

身分證明文件類別（按以下優先次序排第：(1)香港身份證；(2)國民身分證明文件；(3)護照）；及

• identity document number on the identity document.

身分證明文件的身分證明文件號碼。



(ii) For a corporate client, its:

就公司客戶而言：

- full name as shown on its identity document;
身分證明文件上所示的全稱；
- identity document's issuing country or jurisdiction;
身分證明文件的簽發國家或司法管轄區；
- identity document type (order of priority: (1) LEI registration document; (2) certificate of incorporation; (3) business registration certificate; (4) other equivalent documents); and
身分證明文件類別（按以下優先次序排第：(1)法律實體識別編碼（LEI）登記文件；(2)公司註冊證明書；(3)商業登記證；(4)其他同等文件）；及
- identity document number on its identity document.
身分證明文件的身分證明文件號碼。

(iii) For a client that is a trust

就屬信託的客戶而言：

- the CID of the trustee, which should be the same as that of a corporate or individual client as set out above;
受託人的客戶識別信息（應與上述公司或個人客戶的客戶識別信息相同）；
- however, in the case of a trust which is an investment fund (i.e. collective investment schemes), the CID of the asset management company or the individual fund, as appropriate, which has opened a trading account with the Relevant Regulated Intermediary.
然而，若信託是一個投資基金（即集體投資計劃），則應收集在相關受規管中介人開立交易帳戶的資產管理公司或個別基金（視何者適用而定）的客戶識別信息。

(iv) For clients of a joint account:

就聯名帳戶的客戶而言：

- the CID for all clients (in line with the above proposed requirements, depending on the nature of the client) named for a joint account should be provided under the same BCAN assigned to that account.
應提供屬同一券商客戶編碼的聯名帳戶內所有客戶的客戶識別信息（與上述建議規定一致，視乎客戶的性質而定）。

(b) allowing SEHK to:

- collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and
- 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
- use such information for conducting analysis for the purposes of market oversight; and



允許聯交所：

- (i) 收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），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；及

(c) allowing the SFC to:

- (i) collect, store, process and use your personal data (including CID and BCAN(s)) 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.

允許證監會：

- (i) 收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），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。

(d) providing BCAN to Hong Kong Securities Clearing Company Limited (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, the SFC, SEHK and any other party involved in the IPO for the purposes of processing your application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.

向香港中央結算有限公司（香港結算）提供券商客戶編碼以允許香港結算：

- (i) 從聯交所取得、處理及儲存允許披露及轉移給香港結算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。

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. 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。



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

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).

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。

Note: The terms “BCAN” and “CID” used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.”

備註：本條文所述的“券商客戶編碼”及“客戶識別信息”具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第5.6段所界定的含義。”

Acknowledgement and Consent 確認及同意

We acknowledge we have read and understand the content of The Client Consent letter of CTBC Asia Limited. By ticking the box below, we signify my consent for CTBC Asia Limited to use our data on the terms of and for the purposes set out in the Client Consent letter.

本人(或本公司)確認已閱讀及理解中國信託綜合證券(香港)有限公司的客户同意書內容。一經勾選下列方框，即表示本人(或本公司)同意中國信託證券香港(香港)有限公司根據客户同意書的條款及其中所載目的使用我的資料。

We agree to CTBC ASIA LIMITED’s use of our data for the purposes set out in the Client Consent letter and confirm that CTBC ASIA LIMITED would obtain the consent from each of the underlying clients the use of their data for such purposes before the acceptance of carrying out client’s trading instructions or provide client with securities related services (provided such consent is required in accordance with applicable laws and regulations).

本人(或本公司)同意中國信託綜合證券(香港)有限公司將我的資料用於客户同意書所載目的，並確認中國信託綜合證券(香港)有限公司只會於取得客户同意將其資料用於客户同意書所載目的後才會接受客户的交易指示或向客户提供證券相關服務(如該同意為適用的法律法規所要求)。

Account Name 帳戶名稱	
Account Number 帳戶號碼	
Date 日期	
Client’s Signature 客戶簽樣	Signature 簽屬