



## Client Consent on Northbound China Stock Connect Orders (Investor Identification Model) and the Information Collection Statement 中華通北向交易買賣(投資者識別碼模式)及資料收集聲明

### Processing of Data as part of the Stock Connect Northbound Trading 處理客戶資料作為中華通北向交易的一部份

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 the Chinese version, the English version shall prevail.

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。

We acknowledge and agree that in providing CTBC ASIA LIMITED' s Stock Connect Northbound Trading Service to us, CTBC ASIA LIMITED ( "CAL" ) will be required to:

本人(或本公司)確認及同意中國信託綜合證券(香港)有限公司向本人(或本公司)提供中華通北向交易服務時，中國信託綜合證券(香港)有限公司(「中國信託證券香港」)將須：

- I. tag each of our orders submitted to the China Stock Connect System ( "CSC" ) with a Broker-to-Client Assigned Number ( "BCAN" ) that is unique to us with CAL; and  
使用本人(或本公司)獨有的由券商向客戶分配的編碼(「**券商客戶編碼**」)，標記本人(或本公司)向中華通交易系統遞交的每項買賣盤；及
- II. provide to the Exchange our assigned BCAN and such identification information ( "Client Identification Data" or "CID" ) relating to us as the Exchange may request from time to time under the Rules of the Exchange.

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(或本公司)的獲分配券商客戶編碼及相關識別信息(「**客戶識別信息**」)。

Without limitation to any notification CAL has given us or consent CAL has obtained from us in respect of the processing of our data in connection with our account and CAL' s services to us, we acknowledge and agree that CAL may collect, store, use, disclose and transfer data relating to us as required as part of CAL' s Stock Connect Northbound Trading Service, including as follows: 在不受限中國信託證券香港因就本人(或本公司)的賬戶及向本人(或本公司)提供服務而處理的資料，而由中國信託證券香港向本人(或本公司)發出的任何通知或中國信託證券香港從本人(或本公司)取得的同意下，本人(或本公司)確認及同意，作為中國信託證券香港提供中華通北向交易服務的一部份，中國信託證券香港可按要求收集、儲存、使用、披露及轉移有關本人(或本公司)的所有資料，其中包括以下各項：



(a) to disclose and transfer our BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating our 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;

不時向交易所及相關聯交所子公司披露及轉移本人(或本公司)的券商客戶編碼及客戶識別信息，包括在向中華通交易系統輸入中華通指令時指明本人(或本公司)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；

(b) to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store our 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;

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(或本公司)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；

(c) to allow the relevant China Connect Clearing House to: (i) collect, use and store our 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 our 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



准許相關中華通結算所：(i)收集、使用及儲存本人(或本公司)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(或本公司)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

(d) to allow the relevant China Connect Market Operator to: (i) collect, use and store our 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.

准許相關中華通市場營運者：(i)收集、使用及儲存本人(或本公司)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。

By instructing CAL in respect of any transaction relating to China Connect Securities, we acknowledge and agree that CAL may use our 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. We also acknowledge that despite any subsequent purported withdrawal of consent by us, our 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.

通過就有關中華通證券的任何交易向中國信託證券香港發出指示，本人(或本公司)確認及同意中國信託證券香港可使用本人(或本公司)的所有資料，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(或本公司)亦確認，即使本人(或本公司)其後表示有意撤回同意，本人(或本公司)的所有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。

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

Failure to provide CAL with our data or consent as described above may mean that CAL will not, or no longer be able, as the case may be, to carry out our trading instructions or provide



us with CAL' s Stock Connect Northbound Trading Service.

未能如上所述向中國信託證券香港提供本人(或本公司)的所有資料或同意,則中國信託證券香港可能不會或不能繼續(視情況而定)執行本人(或本公司)的交易指示或向本人(或本公司)提供中華通北向交易服務。

**Acknowledgement and Consent 確認及同意**

We acknowledge we have read and understand the content of the Information Collection Statement of CAL. By ticking the box below, we signify my consent for CAL to use our data on the terms of and for the purposes set out in the Information Collection Statement. 本人(或本公司)確認已閱讀及理解中國信託綜合證券(香港)有限公司的資料收集聲明的內容。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)有限公司根據資料收集聲明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 Information Collection Statement. 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資料收集聲明所載目的。

Account Name 帳戶名稱	
Account Number 帳戶號碼	
Date 日期	
Authorized Person 授權人士	
Authorized Signature 有權簽樣	Signature 簽屬  <hr/>