



有關中華通證券北向交易的個人資料收集聲明

除非下文另有界定，本有關中華通證券北向交易的個人資料收集聲明(「本個人資料收集聲明」)所用詞彙與香港聯合交易所有限公司(「聯交所」)之聯交所規則(「聯交所規則」)我們所規定的定義具有相同涵義。若本個人資料收集聲明的英文本與中文本在解釋或意義方面有任何歧義，以英文版本為準。

處理個人資料作為北向交易的一部份

閣下/貴公司確認並同意我們為閣下/貴公司提供透過中華證券通系統(「CSC」)進行中華通證券北向交易服務(「中華通北向交易服務」)時，我們將須：

- (i) 在閣下/貴公司每個送達CSC的訂單，附加我們為閣下/貴公司或為閣下的聯名戶口(如適用)編派唯一的券商客戶編碼(「券商客戶編碼」)。
- (ii) 就聯交所根據聯交所規則可能不時提出的要求，向聯交所提供閣下/貴公司的券商客戶編碼及有關閣下/貴公司的識別資料(「客戶識別信息」)。

不限於任何我們已向閣下/貴公司發出的提示或我們已收到閣下/貴公司同意就有關閣下/貴公司戶口或我們提供的服務而處理閣下/貴公司的個人資料，閣下/貴公司確認並同意我們為閣下/貴公司提供中華通北向交易服務時可能須要收集、儲存、使用、披露及轉移有關閣下/貴公司的個人資料，包括：

- (a) 不時向聯交所及相關聯交所子公司披露及轉移閣下/貴公司之券商客戶編碼及客戶識別信息，包括在提交CSC的中華通訂單中附加上閣下/貴公司之券商客戶編碼，再實時轉遞至相關中華通市場營運者；
- (b) 允許聯交所及每一個相關聯交所子公司 (i) 收集、使用及儲存閣下/貴公司的券商客戶編碼、客戶識別信息及任何由相關中華通結算所提供已綜合、認可及配對的券商客戶編碼及客戶識別信息(由任何一方或透過香港交易所儲存)，用作市場監控和監察目的及執行聯交所規則；(ii) 基於以下(c)及(d)項列出之目的不時向中華通市場營運者(直接或透過相關中華通結算所)轉移此等資料；及(iii) 向在香港的相關監管機構及執法機關披露此等資料，以助他們履行有關香港金融市場的監控、監察及執法職能；
- (c) 允許相關中華通結算所(i) 收集、使用及儲存閣下/貴公司的券商客戶編碼及客戶識別信息，以便綜合及認可券商客戶編碼與客戶識別信息，並將此類信息與其本身的投資者身份數據庫進行配對，以提供該已綜合、認可及配對的券商客戶編碼及客戶識別信息給中華通市場營運者、聯交所和相關聯交所子公司；(ii) 使用閣下/貴公司的券商客戶編碼及客戶識別信息來協助其履行證券賬戶管理的監管職能；及(iii) 向管轄相關中華通結算所的內地監管機構及執法機關披露此等資料，以助他們履行有關內地金融市場的監管、監察及執法職能；
- (d) 允許中華通市場營運者(i) 收集、使用及儲存閣下/貴公司的券商客戶編碼及客戶識別信息，以助其就CSC下在相關中華通市場進行的證券交易進行監控與監察及執行中華通市場營運者的規則；及(ii) 向內地的監管機構及執法機關披露此等資料，以助他們履行有關內地金融市場的監管、監察及執法職能；及
- (e) 在指示我們進行有關中華通證券交易時，閣下/貴公司確認並同意我們為遵從聯交所的要求或不時生效的聯交所規則，可就提供中華通北向交易服務而使用閣下/貴公司的個人資料。閣下/貴公司同時確認即使閣下/貴公司往後撤回同意，閣下/貴公司的個人資料不論在上述撤回同意前或後仍可能會為上述目的繼續被儲存、使用、披露、轉移及處理。

未能提供個人資料或同意的後果

如閣下/貴公司未能提供上述個人資料或同意給我們，可導致我們不能或無法繼續執行閣下/貴公司的交易指示或提供中華通北向交易服務。

確認並同意

本人/本公司確認本人/本公司已閱讀及清楚本個人資料收集聲明。在以下格上勾選，本人/本公司表示同意或拒絕信達國際證券有限公司(「信達國際證券」)及其附屬公司根據本個人資料收集聲明所述的條款及目的使用本人/本公司的個人資料。

- 本人/本公司同意信達國際證券根據本個人資料收集聲明所述的目的使用本人/本公司的個人資料。
- 本人/本公司拒絕信達國際證券根據本個人資料收集聲明所述的目的使用本人/本公司的個人資料，並確認信達國際證券將不能及無法繼續執行本人/本公司的交易指示或提供中華通北向交易服務。



客戶簽署/公司蓋章

客戶姓名: _____

日期

帳戶號碼: _____

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Personal Information Collection Statement concerning Northbound Trading of China Connect Securities

Unless otherwise defined below, terms defined in the Rules of the Exchange of the Stock Exchange of Hong Kong Limited (“Rules of the Exchange”) shall have the same meaning in this Personal Information Collection Statement concerning Northbound Trading of China Connect Securities (“**Personal Information Collection Statement**”). In the event of any difference in interpretation or meaning between the English version and Chinese version of this Personal Information Collection Statement, the English version shall prevail.

Processing of Personal Data as part of the Northbound Trading

You acknowledge and agree that in providing our Northbound trading services of China Connect Securities through CSC (“**Stock Connect Northbound Trading Service**”) to you, we will be required to:

- (i) tag each of your orders submitted to the CSC with a Broker-to-Client Assigned Number (“**BCAN**”) that is unique to you or the BCAN that is assigned to your joint account with us, as appropriate; and
- (ii) 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.

Without limitation to any notification we have given you or consent we 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 we 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) 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) 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) 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;
- (d) 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; and
- (e) by instructing us in respect of any transaction relating to China Connect Securities, you acknowledge and agree that we 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 Service. 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.

Consequences of failing to provide Personal Data or Consent

Failure to provide us with your personal data or consent as described above may mean that we 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.

Acknowledgement and Consent

I/We acknowledge I/we have read and understand the content of this Personal Information Collection Statement. By ticking the box below, I/we signify my/our consent or objection for Cinda International Securities Limited (“CISL”) and its subsidiaries to use my/our personal data on the terms of and for the purposes set out in this Personal Information Collection Statement.

- I/We **agree** to CISL’s use of my/our personal data for the purposes set out in this Personal Information Collection Statement.
- I/We **object** to CISL’s use of my/our personal data for the purposes set out in this Personal Information Collection Statement and acknowledge that CISL will not and no longer be able to carry out my/our trading instructions or provide me/us with Stock Connect Northbound Trading Service.



Client’s signature/Company Chop

Date

Name of Client: _____

Account No.: _____

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