

## 第一部分：有關香港投資者識別碼制度及場外證券交易匯報制度的個人資料收集聲明

除非下文另有界定，有關香港投資者識別碼制度及場外證券交易匯報制度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」）及證券及期貨事務監察委員會（「證監會」）下有關香港投資者識別碼制度及場外證券交易匯報制度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版本與中文版本在解釋或意義方面有任何歧義，以英文版本為準。

閣下明白並同意，我們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) 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（包括客戶識別信息及券商客戶編碼）；
- (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；
- (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；及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。

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。

### 未能提供個人資料或同意的後果

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。

### 備註：

本個人資料收集聲明所述的「券商客戶編碼」及「客戶識別信息」具有以下含義：

- 「券商客戶編碼」指一個符合聯交所訂明的格式及由相關持牌人或註冊人按照聯交所的規定產生的唯一識別碼。
- 「客戶識別信息」指與獲編配券商客戶編碼的客戶有關的以下資料：
  - (i) 客戶的身分證明文件上所示的全名；
  - (ii) 身分證明文件的簽發國家或司法管轄區；
  - (iii) 身分證明文件類別；及
  - (iv) 身分證明文件號碼。

## 第二部分：客戶款項常設授權

致： 信達國際證券有限公司；及  
信達國際期貨有限公司

### 根據《證券及期貨(客戶款項)規則》所設立的常設授權

本授權書涵蓋爾等為本人/吾等在香港收取或持有並存放於一個或多個獨立賬戶內的款項（包括因持有並非屬於爾等的款項而產生之任何利息）（下稱「款項」）。

除非另有說明，本授權書之名詞與《證券及期貨條例》及《證券及期貨(客戶款項)規則》不時修訂之定義具有相同意思。

本授權書授權爾等可不向本人/吾等發出通知而採取下述行動：

1. 組合或合併爾等及/或其關聯公司（下稱「信達國際集團」）所維持的任何或全部獨立賬戶，此等組合或合併活動可以個別地或與其他賬戶聯合進行，爾等可將該等獨立賬戶內任何數額之款項作出轉移，以解除本人/吾等對信達國際集團內任何成員的義務或法律責任，不論此等義務和法律責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的；
2. 從信達國際集團任何成員及/或其於交易對手及/或清算商（不論是否信達國際集團的關聯公司）在香港或其他地方所開立及維持的任何獨立賬戶，於任何時候來回調動任何數額之款項，以履行證券、期貨合約及/或其他金融產品的保證金要求、交易、清算及/或交收等要求；
3. 於完成交易後，將本人/吾等之款項存放於香港或其他地方的交易對手及/或清算商，以便作為日後證券、期貨合約及/或其他金融產品之交易、清算及/或交收；
4. 將本人/吾等的款項兌換成任何其他貨幣；及
5. 將任何被拒絕受理的第三者存款退回至資金所屬的來源。

此賦予信達國際證券有限公司之授權乃鑑於其同意繼續維持本人/吾等之證券現金及/或證券保證金買賣及/或股票期權賬戶，及/或賦予信達國際期貨有限公司之授權乃鑑於其同意繼續維持本人/吾等之期貨買賣賬戶。

此賦予爾等之授權並不損害信達國際集團可享有有關處理該等獨立賬戶內款項的其他授權或權利。

本授權書自簽署之日起生效，並於每年八月三十一日屆滿，並可按下文自動重續。

本人/吾等可以向爾等客戶服務部位於下列之地址發出書面通知，撤回本授權書。該等通知之生效日期為爾等真正收到該等通知後之 14 日起計。

本人/吾等明白爾等若在本授權書的有效期限滿前 14 日之前，向本人/吾等發出書面通知，提醒本人/吾等本授權書即將屆滿，而本人/吾等沒有在此授權屆滿前反對此授權續期，本授權書應當作在不需要本人/吾等的書面同意下按持續的基準已被續期。

倘若本授權書的中文版本與英文版本在解釋或意義方面有任何歧義，本人/吾等同意應以英文版本為準。

### 第三部分：客戶簽署

#### (A) 確認並同意 (第一部分)

本人/吾等確認本人/吾等已閱讀及清楚本個人資料收集聲明所述的條款及目的。在以下空格上勾選，即本人/吾等表示同意或拒絕信達國際證券有限公司(「信達國際證券」)根據本個人資料收集聲明所述的條款及目的使用本人/吾等的個人資料。本人/吾等表示此同意或拒絕同時適用於本人/吾等在信達國際證券開立的其他證券賬戶。

- 本人/吾等同意信達國際證券根據本個人資料收集聲明所述的條款及目的使用本人/吾等的個人資料。
- 本人/吾等拒絕信達國際證券根據本個人資料收集聲明所述的條款及目的使用本人/吾等的個人資料，並確認信達國際證券將不能及無法繼續執行本人/吾等的交易指示或向本人/吾等提供香港證券相關服務(惟出售、轉出或提取本人/吾等現有的證券持倉(如有)除外)。

根據聯交所與證監會的規則和規定，有關在香港投資者識別碼制度及場外證券交易匯報制度下的身分證明文件類別按以下優先次序(「優先次序」)排第：(1) 香港身份證；(2) 國民身分證證明文件；(3) 護照。為符合聯交所與證監會的要求，客戶須根據優先次序排第要求提供閣下的身分證明文件予我們，以遵從香港投資者識別碼制度及場外證券交易匯報制度的規定。

請依照下列的優先排序依次填寫以下資料，並提供相關身分證明文件副本。如不適用，請填上 "N/A"。

個人/聯名賬戶第一申請人

(1) 香港身份證號碼:	(2) 國民身分證號碼:	(3) 護照號碼:
	國民身分證發出地:	

聯名賬戶第二申請人

(1) 香港身份證號碼:	(2) 國民身分證號碼:	(3) 護照號碼:
	國民身分證發出地:	

本人/吾等承諾，若本人/吾等根據優先次序有更新的身分證明文件，或已提供的身分證明文件有任何更新，本人/吾等將會立即通知信達國際證券，並提供本人/吾等更新的身分證明文件副本。

#### (B) 確認並同意 (第二部分)

本人/吾等確認並同意上述第二部分之安排。

客戶簽署:  \_\_\_\_\_ 賬戶號碼: \_\_\_\_\_  
 (請用留存於本公司之簽名)

客戶姓名: \_\_\_\_\_ 日期: \_\_\_\_\_

信達國際專用			
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## **Section 1: Personal Information Collection Statement concerning Hong Kong Investor Identification Regime (“HKIDR”) and Over-the-counter Securities Transactions Reporting Regime (“OTCR”)**

Unless otherwise defined below, terms defined under the rules and requirements<sup>2</sup> of HKIDR and OTCR by the Stock Exchange of Hong Kong (“SEHK”) and the Securities and Futures Commission (“SFC”) shall have the same meaning in this Personal Information Collection Statement concerning HKIDR and OTCR (“PICS - HKIDR and OTCR”). In the event of any difference in interpretation or meaning between the English version and the Chinese version of this PICS - HKIDR and OTCR, the English version shall prevail.

You acknowledge and agree that we may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(s)) 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) disclosing and transferring your personal data (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;
- (b) allowing SEHK to: (i) 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 (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) 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; and
- (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.

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.

### 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 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).

### **Note**

The terms “BCAN” and “CID” used in this PICS - HKIDR and OTCR shall bear the below meanings:

- “BCAN” means a “Broker-to-Client Assigned Number”, being a unique identification code in the format prescribed by SEHK, generated by a relevant licensed or registered person in accordance with SEHK’s requirements.
- “CID” means the following information in relation to a client to whom a BCAN is assigned:
  - (i) the full name of the client as shown in the client’s identity document;
  - (ii) the issuing country or jurisdiction of the identity document;
  - (iii) the identity document type; and
  - (iv) the identity document number.

## **Section 2: Client Money Standing Authority**

To: Cinda International Securities Limited; and  
Cinda International Futures Limited

### Standing Authority under Securities and Futures (Client Money) Rules

This letter of authority covers money held or received by you in Hong Kong (including any interest derived from the holding of the money which does not belong to you) in one or more segregated account(s) on my/our behalf (“Monies”).

Unless otherwise defined, all the terms used in this authorisation letter shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time.

This letter authorises you to do the followings without giving me/us notice:

1. combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by you and/or any of your associated companies (“Cinda International Group”) and you may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to any member of Cinda International Group, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured, or joint or several;
2. transfer any sum of Monies interchangeably between any of the segregated accounts maintained by any member of Cinda International Group and/or any segregated accounts opened and maintained by any member of Cinda International Group with your broker(s) and/or clearing firm(s) (whether they are Cinda International Group’s associated companies or not) in Hong Kong or elsewhere at any time for the purpose of satisfying margin requirement, dealing, clearing and/or settlement requirement of securities, futures contracts and/or other financial products;
3. keep my/our Monies with your broker(s) and/or clearing firm(s) in Hong Kong or elsewhere after trading to facilitate future dealing, clearing and/or settlement of securities, futures contracts and/or other financial products;

<sup>2</sup> Details of HKIDR can be referred to the webpage of the [SFC](https://www.sfc.hk/en/Rules-and-standards/Investor-Identification-and-OTC-securities-reporting) (<https://www.sfc.hk/en/Rules-and-standards/Investor-Identification-and-OTC-securities-reporting>) and [SEHK](https://www.hkex.com.hk/Services/Trading/Securities/Overview/Trading-Mechanism/HKIDR?sc_lang=en) ([https://www.hkex.com.hk/Services/Trading/Securities/Overview/Trading-Mechanism/HKIDR?sc\\_lang=en](https://www.hkex.com.hk/Services/Trading/Securities/Overview/Trading-Mechanism/HKIDR?sc_lang=en)), and details of OTCR can be referred to the same webpage of the [SFC](https://www.sfc.hk/en/Rules-and-standards/Investor-Identification-and-OTC-securities-reporting) (<https://www.sfc.hk/en/Rules-and-standards/Investor-Identification-and-OTC-securities-reporting>) and [SEHK](https://www.hkex.com.hk/Services/Trading/Securities/Overview/Trading-Mechanism/HKIDR?sc_lang=en) ([https://www.hkex.com.hk/Services/Trading/Securities/Overview/Trading-Mechanism/HKIDR?sc\\_lang=en](https://www.hkex.com.hk/Services/Trading/Securities/Overview/Trading-Mechanism/HKIDR?sc_lang=en)).



4. convert the Monies into any other currency(ies); and
5. return any rejected third-party deposit to its source.

This authority is given to Cinda International Securities Limited in consideration of its agreeing to continue to maintain cash and/or margin securities trading and/or stock options account(s) for me/us and/or to Cinda International Futures Limited in consideration of its agreeing to continue to maintain futures trading account(s) for me/us.

This authority is given without prejudice to other authorities or rights which Cinda International Group may have in relation to dealing in Monies in the segregated accounts.

This authority shall be valid from the date of signing and expired on August 31 in every year and may be automatically renewed as below.

This authority may be revoked by giving you written notice addressed to the Customer Service Department at your address specified below. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice.

I/We understand that this authority shall be deemed to be renewed on a continuing basis without my/our written consent if you issue me/us a written reminder at least 14 days prior to the expiry date of this authority, and I/We do not object to such deemed renewal before such expiry date.

In the event of any difference in interpretation or meaning between the Chinese and English version of this authority, I/We agree that the English version shall prevail.

**Section 3: Client's Signature**

**(A) Acknowledgement and Consent (Section 1)**

I/We acknowledge that I/We have read and understand the content of this PICS - HKIDR and OTCR. By ticking the box below, I/We signify my/our consent or objection for Cinda International Securities Limited ("CISL") to use my/our personal data on the terms of and for the purposes set out in this PICS - HKIDR and OTCR. I/We signify that this consent or objection shall also be applicable to my/our other securities account(s) maintained with CISL.

- I/We **agree** to CISL's use of my/our personal data on the terms of and for the purposes set out in this PICS - HKIDR and OTCR.
- I/We **object** to CISL's use of my/our personal data on the terms of and for the purposes set out in this PICS - HKIDR and OTCR and acknowledge that CISL will not, or will no longer be able to, carry out my/our trading instructions or provide me/us with Hong Kong securities related services (other than to sell, transfer out or withdraw my/our existing holdings of securities, if any).

According to the rules and requirements of SEHK and the SFC, the waterfall (the "waterfall") of identity document type under HKIDR and OTCR are collected in the order of priority: (1) HKID card; (2) national identification document; (3) passport. In order to comply with the requirements of SEHK and the SFC, clients must provide their identity document as required under the waterfall to comply with HKIDR and OTCR.

Please fill in details in following descending order of priority and provide relevant **copy of identification document**. Please fill in "N/A" if not applicable.

**Individual/First Applicant of Joint Account**

<b>(1)</b>	HKID Card No.:	<b>(2)</b>	National ID Card No.:	<b>(3)</b>	Passport No.:
			Place of Issue of National ID Card:		Place of Issue of Passport:

**Second Applicant of Joint Account**

<b>(1)</b>	HKID Card No.:	<b>(2)</b>	National ID Card No.:	<b>(3)</b>	Passport No.:
			Place of Issue of National ID Card:		Place of Issue of Passport:

I/We hereby undertake that if there are any updates of my/our identity documents according to the waterfall or any updates on the previously provided identity documents, I/We will notify CISL immediately and provide a copy of the updated identity documents.

**(B) Acknowledgement and Consent (Section 2)**

I/We hereby acknowledge and agree the arrangements of Section 2 as shown above.

**Client's Signature:** \_\_\_\_\_ Account No.: \_\_\_\_\_  
(Please use signature(s) filed with our Company)

**Client Name:** \_\_\_\_\_ **Date:** \_\_\_\_\_

<b>FOR Internal Use Only</b>			
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