

第一部分：有關 (i)香港投資者識別碼制度（下稱「HKIDR」）、(ii)場外證券交易匯報制度（下稱「OTCR」）及 (iii)新發行快速界面（下稱「FINI」）的個人資料收集聲明（下稱「HKIDR、OTCR 及 FINI 個人資料收集聲明」）

除非下文另有界定，本 HKIDR、OTCR 及 FINI 個人資料收集聲明的所用詞彙與香港聯合交易所有限公司（下稱「聯交所」）及證券及期貨事務監察委員會（下稱「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 HKIDR、OTCR 及 FINI 個人資料收集聲明的英文版本與中文版本在解釋或意義上方面有任何歧義，概以英文版本為準。

致： 信達國際證券有限公司（下稱「信達國際證券」）：

本人/吾等明白並同意，信達國際證券為了向本人/吾等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，信達國際證券可收集、儲存、處理、使用、披露及轉移與本人/吾等有關的個人資料（包括本人/吾等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：

- 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本人/吾等的個人資料（包括客戶識別信息及券商客戶編碼）；
- 允許聯交所：(i)收集、儲存、處理及使用本人/吾等的個人資料（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；
- 允許證監會：(i)收集、儲存、處理及使用本人/吾等的個人資料（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本人/吾等的客戶識別信息，及向發行人的股份過戶登記處轉移本人/吾等的客戶識別信息，以便核實本人/吾等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)處理及儲存本人/吾等的客戶識別信息，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本人/吾等的客戶識別信息，以便處理本人/吾等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。

本人/吾等亦同意，即使本人/吾等其後宣稱撤回同意，信達國際證券在本人/吾等宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移本人/吾等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

本人/吾等明白，如未能向信達國際證券提供本人/吾等的個人資料或上述同意，可能意味著信達國際證券不會或不能夠再（視情況而定）執行本人/吾等的交易指示或向本人/吾等提供信達國際證券的證券相關服務（出售、轉出或提取本人/吾等現有的證券持倉除外）。

備註：

於本聲明內，下列詞彙具有以下含義：

- 「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：
 - 客戶的身分證明文件上所示的全名；
 - 身分證明文件的簽發國家或司法管轄區；
 - 身分證明文件類別；及
 - 身分證明文件號碼。
- 「eIPO」指電子首次公開招股，香港結算就公開發售股份認購而提供的服務；
- 「香港結算」：指香港中央結算有限公司；
- 「個人資料」指任何資料：
 - 直接或間接與一名在世的個人有關；
 - 從該資料直接或間接地確定有關的個人的身分是切實可行的；及
 - 該資料的存在形式令予以查閱及處理均是切實可行的；
- 「首次公開招股」指首次公開招股。

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（合稱「貴公司」）

根據《證券及期貨(客戶款項)規則》(香港法例第 571I 章)所設立的常設授權

本授權書（下稱「常設授權」）涵蓋貴公司代表本人/吾等在香港持有或收取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貴公司的款項而產生之任何利息）（下稱「款項」）。

除另有定義外，本常設授權所用之所有詞彙與《證券及期貨條例》（香港法例第 571 章）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。

本常設授權授權貴公司可不向本人/吾等發出通知而採取下述行動：

- 組合或合併（不論何等性質及個別地或與其他賬戶聯合進行）貴公司及/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，貴公司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/吾等的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/或其他金融產品的交易、清算及/或交收;
4. 將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之常設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,及賦予信達國際期貨有限公司(下稱「**信達國際期貨**」)之授權乃鑑於其同意繼續維持本人/吾等之期貨買賣賬戶。

此賦予貴公司之常設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。

本常設授權自簽署之日起生效,並於每年 8 月 31 日屆滿,並可按下文自動重續。然而,本人/吾等可以向貴公司發出不少於十四(14)個曆日的書面通知,隨時撤銷本常設授權。該撤銷通知將於貴公司實際收到該等通知之日起十四(14)個曆日後生效,前提是本人/吾等當時並無任何結欠貴公司的未償還債務。

本人/吾等明白,信達國際證券及信達國際期貨將在本常設授權屆滿前最少十四(14)個曆日以書面方式向本人/吾等提醒授權即將屆滿。本人/吾等謹此同意,除非本人/吾等於常設授權屆滿日期前反對其續期,否則將按此處所載相同條款自動續期十二(12)個月。本人/吾等明白,假如常設授權自動續期,信達國際證券及信達國際期貨須於屆滿日期後一(1)星期內向本人/吾等發出書面確認。

倘若本常設授權的中文版本與英文版本在解釋或意義上有任何歧義,本人/吾等同意以英文版本為準。

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 HKIDR、OTCR 及 FINI 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/吾等並表示同意或拒絕信達國際證券根據本 HKIDR、OTCR 及 FINI 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 HKIDR、OTCR 及 FINI 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 HKIDR、OTCR 及 FINI 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(出售、轉出或提取本人/吾等現有的證券持倉除外)。

根據聯交所與證監會的規則和規定,有關在 HKIDR、OTCR 及 FINI 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其身分證明文件予信達國際證券,以遵從 HKIDR、OTCR 及 FINI 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: 國民身分證發出地:	(3)	護照號碼:
					護照發出地:


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: 國民身分證發出地:	(3)	護照號碼:
					護照發出地:

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所有部分之安排及選擇。

客戶簽署: 
(請用留存於本公司之簽名)

賬戶號碼: _____

客戶姓名: _____

日期: _____

信達國際專用

Signature Check	Inputted By	Checked By	Approved By
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Section 1: Personal Information Collection Statement concerning (i) Hong Kong Investor Identification Regime (“HKIDR”) ; (ii) Over-the-counter Securities Transactions Reporting Regime (“OTCR”) and (iii) Fast Interface for New Issuance (“FINI”)

Unless otherwise defined below, terms defined under the rules and requirements² 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 (i) HKIDR; (ii) OTCR and (iii) FINI (“PICS – HKIDR, OTCR and FINI”). In the event of any difference in interpretation or meaning between the English version and the Chinese version of this PICS – HKIDR, OTCR and FINI, the English version shall prevail.

To: Cinda International Securities Limited (“CISL”)

I/We acknowledge and agree that CISL may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our CID and BCAN(s)) as required for CISL to provide services to me/us 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 my/our 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 my/our 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 my/our 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 my/our CID and transfer my/our CID to the issuer’s share registrar to enable HKSCC and/ or the issuer’s share registrar to verify that I/we have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store my/our CID and transfer my/our 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 my/our application for the relevant share subscription or any other purpose set out in the IPO issuer’s prospectus.

I/We also agree that despite any subsequent purported withdrawal of consent by me/us, my/our 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

I/We understand that failure to provide CISL with my/our personal data or consent as described above may mean that CISL will not, or will no longer be able to, as the case may be, carry out my/our trading instructions or provide me/us with CISL’s securities related services (other than to sell, transfer out or withdraw my/our existing holdings of securities, if any).

Note

In this PICS - HKIDR ,OTCR and FINI, the following terms shall have the following meaning:

- “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.
- “EIPO” means Electronic IPO, a service offered by HKSCC for public offer share subscription;
- “HKSCC” means Hong Kong Securities Clearing Company Limited;
- “personal data” means any data:
 - (i) relating directly or indirectly to a living individual;
 - (ii) from which it is practicable for the identity of the individual to be directly or indirectly ascertained; and
 - (iii) in a form in which access to or processing of the data is practicable;
- “IPO” means Initial Public Offering.

Section 2: Client Money Standing Authority

To: Cinda International Securities Limited; and
Cinda International Futures Limited (“CIFL”)

Standing Authority under Securities and Futures (Client Money) Rules (Chapter 571I of the Laws of Hong Kong)

This letter of authority (“**Standing 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 (Chapter 571 of the Laws of Hong Kong) and the Securities and Futures (Client Money) Rules as amended from time to time.

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

This Standing Authority is given to CISL in consideration of CISL's agreeing to continue to maintain cash and/or margin securities trading and/or stock options account(s) for me/us and to CIFL in consideration of CIFL's agreeing to continue to maintain futures trading account(s) for me/us.

This Standing 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 Standing Authority shall be valid from the date of signing and shall expire on 31st of August every year and may be automatically renewed as below. However, I/we may revoke this Standing Authority at any time by giving you not less than fourteen (14) calendar days' written notice. Such notice of revocation shall take effect on expiry of the said fourteen (14) calendar days from the date of your actual receipt of such notice provided that I/we do not have any outstanding debts owed to you at that time.

I/We understand that at least fourteen (14) calendar days prior to the expiry of this Standing Authority, CISL and CIFL will remind me/us in writing of the impending expiry of the authority. I/We hereby agree that unless I/we object to the renewal of the Standing Authority prior to its expiry date, it will be automatically renewed for a further period of twelve (12) months on the same terms as set out herein. I/We understand that if the Standing Authority is automatically renewed, CISL and CIFL shall give written confirmation of the renewal to me/us within one (1) week after the expiry date.

In the event of any difference in interpretation or meaning between the Chinese and English versions of this Standing 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, OTCR and FINI. By ticking the box below, I/we signify my/our consent or objection for CISL to use my/our personal data on the terms of and for the purposes set out in this PICS - HKIDR, OTCR and FINI. 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, OTCR and FINI.
- 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, OTCR and FINI 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, OTCR and FINI 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, OTCR and FINI.

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

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

Second Applicant of Joint Account

(1)	HKID Card No.:	(2)	National ID Card No.:	(3)	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 and choices of all Sections as shown above.

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

Client Name: _____ Date: _____

FOR Internal Use Only

Signature Check	Inputted By	Checked By	Approved By
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