



有關中華通證券北向交易的個人資料收集聲明

除下文另有界定者外，香港聯合交易所有限公司規則（下稱「**聯交所規則**」）所界定的詞彙於本有關中華通證券北向交易的個人資料收集聲明（下稱「**北向交易個人資料收集聲明**」）中具有相同涵義。若本北向交易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「**貴公司**」）

作為北向交易的一部分的個人資料處理：

本人/吾等確認並同意，在由貴公司透過香港聯合交易所有限公司（下稱「**聯交所**」）的中華通系統（下稱「**中華通系統**」）向本人/吾等提供中華通證券的北向交易服務（下稱「**北向交易服務**」）時，貴公司將須：

- (i) 在適當情況下，將本人/吾等提交予中華通系統的每項指示，連同本人/吾等獨有的經紀對客戶編配號碼（下稱「**券商客戶編碼**」）或編配予本人/吾等與貴公司的聯名賬戶的券商客戶編碼；以及
- (ii) 向聯交所提供本人/吾等指定的券商客戶編碼及聯交所根據聯交所規則不時要求有關本人/吾等的身份識別資料（下稱「**客戶識別資料**」）。

不限於任何貴公司已向本人/吾等發出的提示或貴公司已從本人/吾等收到同意就有關本人/吾等賬戶或貴公司提供的服務而處理本人/吾等的個人資料，本人/吾等確認並同意，作為「**北向交易服務**」服務的一部分，貴公司可收集、儲存、使用、披露及轉移所需有關本人/吾等的個人資料，包括：

- (a) 不時向聯交所及相關聯交所附屬公司披露及轉移本人/吾等的券商客戶編碼及客戶識別資料，包括在向中華通系統輸入中華通訂單時指示本人/吾等的券商客戶編碼，其將進一步實時傳送至相關中華通市場營運商；
- (b) 允許聯交所及相關聯交所附屬公司各自：(i)收集、使用及儲存本人/吾等的券商客戶編碼、客戶識別資料及由相關中華通結算所提供的任何綜合、驗證及配對的券商客戶編碼及客戶識別資料（如屬儲存，由彼等任何一方或透過香港交易所提供），用作市場監控及監察目的以及執行聯交所規則；(ii)不時就下文(c)及(d)所載目的將有關資料轉移至相關中華通市場營運商（直接或透過相關中華通結算所）；及(iii)向香港相關監管機構及執法機關披露此等資料，以便履行彼等有關香港金融市場的法定職能；
- (c) 允許相關中華通結算所：(i)收集、使用及儲存本人/吾等的券商客戶編碼及客戶識別資料，以促進券商客戶編碼及客戶識別資料的綜合及驗證，以及將券商客戶編碼及客戶識別資料與其本身的投資者身份數據庫進行配對，並向相關中華通市場營運商、聯交所及相關聯交所附屬公司提供此等綜合、驗證及配對券商客戶編碼及客戶識別資料；(ii)使用本人/吾等的券商客戶編碼及客戶識別資料履行其證券賬戶管理的監管職能；及(iii)向對其有司法管轄權的內地監管機構及執法機關披露此等資料，以便彼等履行有關內地金融市場的監管、監察及執法職能；
- (d) 允許相關中華通市場營運商：(i)收集、使用及儲存本人/吾等的券商客戶編碼及客戶識別資料，以助其就透過使用中華通服務進行的中華通市場證券買賣進行監控與監察及執行相關中華通市場營運商的規則；及(ii)向內地監管機構及執法機關披露此等資料，以便彼等就內地金融市場履行監管、監察及執法職能；以及
- (e) 就與中華通證券有關的任何交易向貴公司發出指示，本人/吾等確認並同意貴公司可使用本人/吾等的個人資料，以遵守聯交所及其不時生效的有關滬港通及深港通北向交易服務的規則。本人/吾等亦確認，儘管本人/吾等其後聲稱撤回同意，本人/吾等的個人資料仍可能繼續被儲存、使用、披露、轉移及以其他方式處理作上述用途，不論在有關聲稱撤回同意之前或之後。

未能提供個人資料或同意的後果

本人/吾等明白，未能向貴公司提供上述本人/吾等的個人資料或同意，可能意味著貴公司將不會或不能夠再（視情況而定）執行本人/吾等的交易指示或向本人/吾等提供貴公司的滬港通及深港通北向交易服務。

確認並同意

本人/吾等確認已閱讀及清楚本北向交易個人資料收集聲明。在以下格上勾選，本人/吾等表示同意或拒絕貴公司及其附屬公司根據本北向交易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/吾等同意貴公司根據本北向交易個人資料收集聲明所述的目的使用本人/吾等的個人資料。
- ☐ 本人/吾等拒絕貴公司根據本北向交易個人資料收集聲明所述的目的使用本人/吾等的個人資料，並確認貴公司將不能及無法繼續執行本人/吾等的交易指示或提供滬港通及深港通北向交易服務。



客戶簽署/公司蓋章

日期

客戶姓名: _____

賬戶號碼: _____

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

To: Cinda International Securities Limited (“CISL”)

Processing of Personal Data as part of the Northbound Trading

I/We acknowledge and agree that in providing Northbound trading services of China Connect Securities through the Exchange’s China Stock Connect System (“CSC”) by CISL (“**Stock Connect Northbound Trading Service**”) to me/us, CISL will be required to:

- (i) tag each of my/our orders submitted to the CSC with a Broker-to-Client Assigned Number (“BCAN”) that is unique to me/us or the BCAN that is assigned to my/our joint account with CISL, as appropriate; and
- (ii) provide to the Exchange my/our assigned BCAN and such identification information (“**Client Identification Data**” or “CID”) relating to me/us as the Exchange may request from time to time under the Rules of the Exchange.

Without limitation to any notification CISL has given me/us or consent CISL has obtained from me/us in respect of the processing of my/our personal data in connection with my/our account and CISL’s services to me/us, I/we acknowledge and agree that CISL may collect, store, use, disclose and transfer personal data relating to me/us as required as part of CISL’s Stock Connect Northbound Trading Service, including as follows:

- (a) to disclose and transfer my/our BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating my/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;
- (b) to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store my/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 the Hong Kong Exchanges and Clearing Limited) 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 my/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 my/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;
- (d) to allow the relevant China Connect Market Operator to: (i) collect, use and store my/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; and
- (e) by instructing CISL in respect of any transaction relating to China Connect Securities, I/we acknowledge and agree that CISL may use my/our 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. I/We also acknowledge that despite any subsequent purported withdrawal of consent by me/us, my/our 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

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 Stock Connect Northbound Trading Service.

Acknowledgement and Consent

I/We acknowledge I/we have read and understand the content of this PICS – Northbound Trading. By ticking the box below, I/we signify my/our consent or objection for CISL and its subsidiaries to use my/our personal data on the terms of and for the purposes set out in this PICS – Northbound Trading.

- ☐ I/We **agree** to CISL’s use of my/our personal data for the purposes set out in this PICS – Northbound Trading.
- ☐ I/We **object** to CISL’s use of my/our personal data for the purposes set out in this PICS – Northbound Trading 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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