

Personal Information Collection Statement Concerning China Connect Service

有關中華通交易服務收集個人資料聲明

Client Name

客戶姓名：

A/C No.

帳戶號碼：

I/We acknowledge and agree that in providing Marketsense Securities Limited's ("MSL") Shanghai Stock Connect and Shenzhen Stock Connect Northbound Trading Service ("China Connect Service") to me/us, I/we will be required to:

本人/吾等確認並同意，友盈證券有限公司（「友盈證券」）向本人/吾等提供滬股通及深股通北向交易服務時（「中華通交易服務」），本人/吾等將需要：

- (i) tag each of my/our orders submitted to the China Stock Connect System ("CSC") with a Broker-to-Client Assigned Number ("BCAN") that is unique to me/us; and
就每個提交到中華證券通系統（「CSC」）的北向買賣盤，附加友盈證券為本人/吾等編派的一個唯一的券商客戶編碼（「券商客戶編碼」）；及
- (ii) provide to the Stock Exchange of Hong Kong Limited ("SEHK") my/our assigned BCAN and my/our full name, the issuing country or jurisdiction of the identity document, the type of identity document and the number of the identity document ("Client Identification Data" or "CID") relating to me/us as the SEHK may request from time to time under the Rules of the Exchange.
按香港聯合交易所有限公司（「聯交所」）不時根據《交易所規則》的規定要求，向其提供本人/吾等指定的券商客戶編碼及本人/吾等的姓名、身份證明文件的簽發國家、身份證明文件的類別及身份證明文件的號碼（「客戶識別信息」）。

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

包括但不限於友盈證券曾向本人/吾等作出的任何通知或友盈證券在處理本人/吾等帳戶或有關服務時已取得本人/吾等同意，以處理本人/吾等的個人資料情況下，本人/吾等確認並同意友盈證券在提供中華通交易服務予本人/吾等時，可能會收集、儲存、使用、披露及轉移本人/吾等的個人資料，當中包括：

- (a) to disclose and transfer my/our BCAN and CID to the SEHK 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;
不時向聯交所及其相關子公司披露及轉移本人/吾等的券商客戶編碼及客戶識別信息，包括在CSC輸入中華通買賣盤時，標示本人/吾等的券商客戶編碼，而該買賣盤將實時傳送至相關中華通市場營運者；
- (b) to allow each of the SEHK 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 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; 同意聯交所及相關子公司 (i) 收集，使用及儲存本人/吾等的券商客戶編碼、客戶識別信息，及由相關中華通結算所提供的任何已綜合、核實及配對的券商客戶編碼及客戶識別信息的資料 (由任何一方或透過香港交易所儲存)，以用作市場監控和監察目的及執行《交易所規則》；(ii) 不時為以下(c)及(d)段所述目的將有關資料轉移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) 向在香港的相關監管機構及執法機關披露此等資料，以協助他們履行有關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 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 SEHK 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; and 同意相關中華通結算所 (i) 收集，使用和儲存本人/吾等的券商客戶編碼及客戶識別信息，以便綜合及核實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，並將此類已綜合、核實及配對的券商客戶編碼與客戶識別信息資料提供予相關的中華通市場營運者、聯交所及其子公司；(ii) 使用本人/吾等的券商客戶編碼及客戶識別信息來協助其履行證券帳戶管理的監管職能; 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，以助他們履行對內地金融市場的監管、監察及執法職能；及

(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. 同意相關中華通市場營運者 (i) 收集，使用和儲存本人/吾等的券商客戶編碼及客戶識別信息，以助其就相關中華通市場所進行的中華通證券交易進行監管與監察及執行相關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。

By instructing MSL in respect of any transaction relating to China Connect Securities, I/we acknowledge and agree that MSL may use my/our personal data for the purposes of complying with the requirements of the SEHK and its rules as in force from time to time in connection with the China Connect 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. 向友盈證券發出指示以進行與中華通證券有關的任何交易，本人/吾等確認並同意友盈證券可使用本人/吾等的個人資料，以遵守聯交所為中華通交易服務不時制定的規定及《交易所規則》。

本人/吾等進一步確認及同意，儘管本人/吾等隨後可撤回同意，但本人/吾等的個人資料可繼續被儲存、使用、披露及轉移及以其他方式處理以達至上述目的，無論是在撤回同意之前還是之後。

Consequences of failing to provide Personal Data or Consent **未能提供個人資料或同意的後果**

Failure to provide MS� with my/our personal data or consent as described above may mean that MS� will not, or no longer be able, as the case may be, to carry out my/our trading instructions or provide me/us with China Connect Service.

倘若本人/吾等未能向友盈證券提供本人/吾等的個人資料或上述同意，將可導致友盈證券不會或不能(視情況而定)執行本人/吾等的交易指示或向本人/吾等提供中華通交易服務。

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

倘若英文本與中文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。

Acknowledgement and Consent **客戶確認及同意**

I/We acknowledge that I/we have read and understood the content of the Personal Information Collection Statement of MS�. By ticking the box below, I/we signify my/our consent for MS� to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

本人/吾等確認本人/吾等已閱讀並明白友盈證券個人資料收集聲明的內容。通過鈎選以下方格，表示本人/吾等同意友盈證券可根據個人資料收集聲明中的條款和目的使用本人/吾等的個人資料。

- I/We agree to MS�'s use of my/our personal data for the purposes set out in the Personal Information Collection Statement.

本人/吾等同意友盈證券將本人/吾等的個人資料用於個人資料收集聲明所載的目的。

Client Signature(s)

客戶簽署：

Date

日期：

OFFICIAL USE ONLY 只供本公司使用	RO	CS	Settlement	Checker
Acknowledged by				
Client signature verified by				
Input to BOS system by				