

Application for the Stock Connect Northbound Trading
中華通北向交易服務申請

Please complete this form legibly in **BLOCK LETTERS**. 請以正楷清楚填寫此表格。

Account Name 客戶姓名:	Date 日期:
Account No. 帳戶號碼:	
ID Card No. / Passport No.: 身份證明文件號碼	Place of Issue: 發出國家 ¹

RE: Personal Information Collection Statement concerning Northbound China Connect Orders - Processing of Personal Data as part of the Stock Connect Northbound Trading

關於:中華通北向交易之個人信息收集聲明- 處理個人資料作為[中華通北向交易]的一部分

The Client acknowledges and agrees that in providing the Company's China Connect securities trading service to the Client, the company will be required to:

客戶明白及同意，香港國際證券為客戶提供中華通證券交易服務時，香港國際證券須要：

(i) tag each of the Client's orders submitted to the China Stock Connect System ("CSC") with a Broker-to-Client Assigned Number ("BCAN") that is unique to the Client or the BCAN that is assigned to the Client's joint account with the company, as appropriate; and

在提交每一客戶交易指令予中華通買賣盤訂單傳遞系統時，在交易指令中附加上客戶唯一的券商客戶編碼或（如客戶賬戶為聯名賬戶）客戶聯名賬戶獲分配的券商客戶編碼；及

(ii) provide to the Exchange the Client's assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to the Client as the Exchange may request from time to time under the Rules of the Exchange.

Without limitation to any notification the company has given the Client or consent the company has obtained from the Client in respect of the processing of the Client's personal data in connection with the Client's account and The Company's services to the Client, the Client acknowledges and agrees that the company may collect, store, use, disclose and transfer personal data relating to the Client as required as part of The Company's China Connect securities trading service, including as follows:

向交易所提供客戶唯一的券商客戶編碼及一切交易所按照其規則不時要求索取的關於客戶的身份識別資料。

不受限於香港國際證券就著因應客戶的賬戶或提供服務予客戶而處理客戶個人資料而給予客戶的通知或取得的客戶同意，客戶明白及同意，作為香港國際證券中華通證券交易服務的一部份，香港國際證券可以作出下述的收集、儲存、使用、披露及轉移客戶的個人資料的行為：

¹ According to the CSRC, SSE and SZSE date on 25th July 2022 effective:
根據中國證監會、上交所和深交所於 2022 年 7 月 25 日生效的安排:

- Our Company shall not register the Broker-to-Client Assigned Number (BCAN) for clients who are Mainland investors, i.e. registration of new BCANs with 'CHN' as the country/ region of issuance (CHN BCANs) will be rejected
本公司不得為內地投資者開通券商客戶編碼，即以「CHN」為證件簽發國家/地區的券商客戶編碼的註冊（CHN BCAN）將被拒絕
- Mainland investors (include: (a) individuals that possess Mainland ID documents;(b) holders of a joint account if one of the holders is considered as Mainland investor under (a);and (c) corporate or unincorporated entities which are registered in the Mainland)
內地投資者包括:(a) 持有中國內地身份證明文件的個人，(b) 聯名帳戶持有人（如聯名帳戶持有人中有任何一方屬(a)條規定的內地投資者），及 (c) 中國內地註冊的法人及非法人組織

(a) to disclose and transfer the Client's BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating the Client's 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;

不時向交易所及相關交易所附屬公司披露及轉移客戶的券商客戶編碼及客戶識別信息，包括在中華通買賣盤訂單傳遞系統輸入中華通證券交易指令時顯示客戶的券商客戶編碼，並實時轉傳至相關中華通證券交易營運者；

(b) to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store the Client's 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;

容許交易所及各相關交易所附屬公司：(i) 收集、使用及儲存客戶的券商客戶編碼及客戶識別信息以及相關中華通結算所提供（以儲存而言，它們通過香港交易所進行）的合併、核實及配對的券商客戶編碼及客戶識別信息資料，以作市場監察及執行交易所規則用途；(ii) 基於下列(c)及(d)所述目的，不時（直接或通過相關中華通結算所）轉移該等資料予相關中華通證券交易營運者；及(iii) 披露該等資料予香港相關監管機構及執法機關，以配合其履行關於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 the Client's 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 the Client's 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

容許相關中華通結算所：(i) 收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以對券商客戶編碼及客戶識別信息作出合併及核實並與其投資者身份識別資料庫作出配對，及把合併、核實及配對的券商客戶編碼及客戶識別信息資料提供予相關中華通證券交易營運者、交易所及相關交易所附屬公司；(ii) 使用客戶的券商客戶編碼及客戶識別信息，以履行其證券賬戶管理的法定職能；及(iii) 披露該等資料予中國大陸相關監管機構及執法機關，以配合其履行關於中國大陸金融市場的監管、監察及執法職能；及

(d) to allow the relevant China Connect Market Operator to: (i) collect, use and store the Client's BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect 3 June 2018 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.

By instructing the company in respect of any transaction relating to China Connect Securities, the Client acknowledges and agrees that the company may use the Client's 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. The Client also acknowledges that despite any subsequent purported withdrawal of consent by the Client, the Client's 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.

容許相關中華通證券交易營運者：(i)收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以監察通過使用中華通服務在相關中華通市場進行之證券交易，和執行相關中華通證券交易營運者之規則；及(ii)披露該等資料予中國大陸相關監管機構及執法機關，以配合其履行關於中國大陸金融市場的監管、監察及執法職能。

當客戶指示香港國際證券進行任何中華通證券的交易時，客戶明白及同意，香港國際證券可以使用客戶的個人資料于遵守交易所的要求及其對中華通北向交易不時生效的規則。客戶也明白，即使未來客戶計劃撤消其同意，客戶的個人資料（不論客戶撤消客戶同意前或後）會繼續被儲存、使用、披露、轉移或以其他方式處理，以達至上述目的。

Consequences of failing to provide Personal Data or Consent

Failure to provide the company with the Client's personal data or consent as described above may mean that the company will not, or no longer be able, as the case may be, to carry out the Client's trading instructions or provide the Client with the company's China Connect securities trading service.

不能提供個人資料或同意的後果

客戶不能如上述向香港國際證券提供個人資料或同意，將可能導致香港國際證券（按情況）不會或不可繼續執行客戶的交易指示或向客戶提供中華通證券交易服務。

Acknowledgement and Consent 確認和同意:

I/We hereby acknowledge I/We have read and understand the content of the Personal Information Collection Statement of the Company. By ticking the box below, I/We signify my consent for the Company to use my 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/吾等已閱讀並了解香港國際證券的個人資料收集聲明的內容。通過勾選下面的方框，本人/吾等表示本人/吾等同意香港國際證券根據個人信息收集聲明中的條款和目的使用本人/吾等之個人資料。

I/We agree the Company to use of my/our personal data for the purposes set out in the Personal Information Collection Statement.

本人/吾等同意香港國際證券將本人/吾等之個人資料用於個人資料收集聲明所載的目的。

Client Signatures(s)

客戶簽署

Staff Use Only 職員專用	
Signatures Verified by	
Approved by	