



太平証券(香港)有限公司

Taiping Securities (HK) Co., Ltd.

Unit 3, 19/F, No.18 King Wah Road, Hong Kong
香港京華道18號19樓3室
Registered securities dealer of SFC (CE No. AAE494) &
證監會持牌法團中央編號 AAE494 及
Participant of The Stock Exchange of Hong Kong Ltd.
香港聯合交易所有限公司(“聯交所”)參與者

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Client Consent on Northbound China Stock Connect Orders (Investor Identification Model) and the Personal Information Collection Statement

中華通北向交易買賣（投資者識別碼模式）及個人資料收集聲明同意書

Capitalized terms used below shall have the same meanings as defined in the Rules of The Stock Exchange of Hong Kong Limited. If there is any inconsistency or ambiguity between the English version and the Chinese version, the English version shall prevail.
以下段落使用的術語，與聯交所規則內的術語具有相同的含義。如中、英文兩個版本有任何抵觸或不相符之處，應以英文版本為準。

Processing of Personal Data as part of the Stock Connect Northbound Trading

處理客戶資料作為中華通北向交易的一部份

You acknowledge and agree that in providing our Stock Connect Northbound Trading Service to you, we will be required to: 閣下確認及同意本公司向閣下提供中華通北向交易服務時，本公司將須：

- (i) tag each of your orders submitted to the CSC with a Broker-to-Client Assigned Number ("BCAN") that is unique to you; and 使用閣下獨有的由券商向客戶分配的編碼（「券商客戶編碼」），標記閣下向中華通交易系統遞交的每項買賣盤；及
- (ii) provide to the Exchange your assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to you as the Exchange may request from time to time under the Rules of the Exchange.

向交易所提供其根據交易所規則可能不時要求有關閣下的獲分配券商客戶編碼及相關識別信息（「客戶識別信息」）。

Without limitation to any notification we have given you or consent we have obtained from you in respect of the processing of your personal data in connection with your account and our services to you, you acknowledge and agree that we may collect, store, use, disclose and transfer personal data relating to you as required as part of our Stock Connect Northbound Trading Service, including as follows:

在不受限本公司因就閣下的賬戶及向閣下提供服務而處理的資料，而由本公司向閣下發出的任何通知或本公司從閣下取得的同意下，閣下確認及同意，作為本公司提供中華通北向交易服務的一部份，本公司可按要求收集、儲存、使用、披露及轉移有關閣下的所有資料，其中包括以下各項：

- (a) to disclose and transfer your BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating your 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聯交所子公司披露及轉移閣下的券商客戶編碼及客戶識別信息，包括在向中華通交易系統輸

入中華通指令時指明閣下的券商客戶編碼，該等資料將實時進一步發送至相關中華通市場營運者；

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

准許各間交易所及相關聯交所子公司：(i)收集、使用及儲存閣下的券商客戶編碼、客戶識別信息及由相關中華通結算所提供的任何綜合、核實及配對的券商客戶編碼及客戶識別信息資料（就儲存而言，由任何一間交易所或港交所進行），以作市場監察及監督以及執行聯交所規則目的；(ii)為下文(c)及(d)項所載之目的，不時轉移該等資料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)向香港的相關監管機構及執法機關披露該等資料，以協助履行相關機構在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 your 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 your 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

准許相關中華通結算所：(i)收集、使用及儲存閣下的券商客戶編碼及客戶識別信息，以促進綜合及核實券商客戶編碼及客戶識別信息，以及將券商客戶編碼及客戶識別信息配合其投資者識別數據庫進行配對，並向相關中華通市場營運者、交易所及相關聯交所子公司提供該等綜合、核實及配對券商客戶編碼及客戶識別信息資料；(ii)使用閣下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規管職能；及(iii)向擁有司法管轄權的內地監管機構及執法機關披露該等資料，以協助相關機構履行對內地金融市場的規管、監察及執法職能；及

- (d) to allow the relevant China Connect Market Operator to: (i) collect, use and store your 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.

准許相關中華通市場營運者：(i)收集、使用及儲存閣下的券商客戶編碼及客戶識別信息，以便通過使用中華通服務及執行相關中華通市場營運商規則，監察及監管相關中華通市場的證券交易；及(ii)向內地監管機構及執法機關披露該等資料，以協助相關機構履行對內地金融市場的規管、監察及執法職能。

By instructing us in respect of any transaction relating to China Connect Securities, you acknowledge and agree that we may use your 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. You also acknowledge that despite any subsequent purported withdrawal of consent by you, your 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.

通過就有關中華通證券的任何交易向本公司發出指示，閣下確認及同意本公司可使用閣下的所有資料，以遵守交易所的規

定及有關中華通北向交易不時生效的規則。閣下亦確認，即使閣下其後表示有意撤回同意，閣下的所有資料仍可能繼續被儲存、使用、披露、轉移及以其他方式處理以達到上述目的，不論是在表示有意撤回同意之前或之後亦然。

Consequences of failing to provide Personal Data or Consent

未能提供資料或同意的後果

Failure to provide us with your personal data or consent as described above may mean that we will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with our Stock Connect Northbound Trading Service.

未能如上所述向本公司提供閣下的所有資料或同意，則本公司可能不會或不能繼續（視情況而定）執行閣下的交易指示或向閣下提供中華通北向交易服務。

Acknowledgement and Consent

確認及同意

I acknowledge I have read and understand the content of the Personal Information Collection Statement of Taiping Securities (HK) Co Ltd. By ticking the box below, I signify my consent for Taiping Securities (HK) Co Ltd to use my personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

本人確認已閱讀及理解太平証券(香港)有限公司的個人資料收集聲明的內容。一經勾選下列方框，即表示本人同意太平証券(香港)有限公司根據個人資料收集聲明的條款及其中所載目的使用本人的資料。

I agree to Taiping Securities (HK) Co Ltd's use of my personal data for the purposes set out in the Personal Information Collection Statement.

本人同意太平証券(香港)有限公司將本人的資料用於個人資料收集聲明所載目的。

Signature of Client 客戶簽署： <i>Please use the signature(s) field with our company 請用留存與本公司之簽名式樣</i>	
Client Name 賬戶名稱：	
Client Number 賬戶號碼：	
Date 日期：	

公司內部使用 For Office Use Only			
簽署	印鑑覆核	輸入	確認
日期			