

太平証券(香港)有限公司
Taiping Securities (HK) Co Limited

Unit 3, 19/F, No.18 King Wah Road, Hong Kong
香港京華道 18 號 19 樓 3 室
Licensed Corporation of Securities and Futures Commission (CE No. AAE494) &
證券及期貨事務監察委員會(“證監會”)持牌法團中央編號 AAE494 及
Participant of The Stock Exchange of Hong Kong Ltd. (Participant ID:01217)
香港聯合交易所有限公司(“聯交所”)參與者(參與者編號:01217)

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www.tpfh.cntaiping.com/tc

Dear Customer(s),
尊敬的客戶：

Re: Implementation of the Hong Kong Investor Identification Regime
關於：實施香港投資者身份識別碼制度

The Securities and Futures Commission (“SFC”) has announced to implement an investor identification regime at trading level for the securities market in Hong Kong (“HKIDR”) on 10 August 2021. We, as a licensed corporation, will be subject to the HKIDR upon implementation of the regimes.

證券及期貨事務監察委員會(“證監會”)已於 2021 年 8 月 10 日宣佈在交易層面上對香港證券市場實施投資者識別碼制度(“香港投資者識別碼制度”)。我們作為持牌法團，於香港投資者識別碼制度實施後將須遵守該制度。

Under the HKIDR, we will have to assign a BCAN¹ to you and tag the BCAN to your securities orders. We are required to submit your identity information (including name and identity document number, type, and place of issue) to a secured data repository of the Stock Exchange of Hong Kong (“SEHK”).

根據香港投資者識別碼制度，我們將須為閣下編派一個券商客戶編碼¹，並在閣下的證券指令上標註該券商客戶編碼。我們須將閣下的身份資料(包括姓名及身份文件號碼、類別及簽發地點)遞交至香港聯合交易所(“聯交所”)的保密數據庫。

Accordingly, we need to obtain your consent for us to collect, store, process, use, disclose and transfer personal data relating to you (including your CID² and BCAN(s)) to provide services to you 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:

因此，為向閣下提供與在聯交所上市或買賣的證券相關的服務，以及為遵守不時生效的聯交所和證監會的規則和規定，我們需要取得閣下的同意以收集、儲存、處理、使用、披露及轉移與閣下有關係的個人資料(包括閣下的客戶識別信息²及券商客戶編碼)。在不限制以上內容的前提下，當中包括：

- (a) disclosing and transferring your 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;
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閣下的個人資料(包括客戶識別信息及券商客戶編碼)；
- (b) allowing SEHK to:
 - (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK;
收集、儲存、處理及使用閣下的個人資料(包括客戶識別信息及券商客戶編碼)，以便監察和監管市場以及執行聯交所的《交易所規則》；
 - (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

¹ “BCAN” means a “Broker-to-Client Assigned Number”, being a unique identification code in the format prescribed by SEHK, generated by us and assigned to you in accordance with SEHK’s requirements, and has such meanings as described in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission issued by the SFC (“Code of Conduct”).

「券商客戶編碼」指「券商客戶指定編碼」，為我們根據聯交所的要求按聯交所規定的格式向閣下編派的唯一識別編碼，並具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》(“操守準則”)第 5.6 條賦予其之涵義。

² “CID” means the client identification data (including the identity document number), and has such meanings as described in paragraph 5.6 of the Code of Conduct.

「客戶識別信息」指客戶識別信息(包括身份文件編號)，並具有《操守準則》第 5.6 條賦予其之涵義。

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) use such information for conducting analysis for the purposes of market oversight; and
為監察市場目的而使用有關資料進行分析；及

(c) allowing the SFC to:

允許證監會：

- (i) collect, store, process and use your 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
收集、儲存、處理及使用閣下的個人資料（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) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.
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。

Despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

即使閣下其後宣稱撤回同意，我們在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

In light of the above, we have updated our:

鑒於上文所述，我們已更新下列文件：

- 1) Terms of Business; and
業務條款；及
- 2) Personal Information Collection Statement (the “Updates”).
個人資料收集聲明（「**相關更新**」）。

Full versions of the updated Terms of Business and Personal Information Collection Statement are available at <https://www.tpfh.cntaiping.com/tc/service/detail/form-downloads>.

已更新的業務條款及個人資料收集聲明的完整版本可於 <https://www.tpfh.cntaiping.com/tc/service/detail/form-downloads> 查閱。

Please read the updated Terms of Business and Personal Information Collection Statement carefully. If you agree with the Updates, please fill in your full name, ID number and sign on the signature box in the reply slip below, and return this letter together with the reply slip to us:

閣下務請細閱已更新的業務條款及個人資料收集聲明。若閣下同意相關更新，請於下列回條內填妥閣下的全名、身份證號碼並於簽署欄簽署，並將本函件連同回條透過下列方式交回予我們：

- 1) by post to Unit 3, 19/F, No.18 King Wah Road, Hong Kong; or
以郵遞方式郵寄至香港京華道 18 號 19 樓 3 室；或
- 2) by emailing a scanned copy to cs@tps.cntaiping.com,
以電郵方式把掃描副本發送至 cs@tps.cntaiping.com，

Please note that we will no longer be able to carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any) if you have not consented to the Updates and returned the signed letter to us.

閣下務請注意，若閣下不同意相關更新及未有將已簽署的函件交回予我們，我們將不能夠再執行閣下的交易指示或向閣下提供證券相關服務（出售、轉出或提取閣下現有的證券持倉（如有）除外）。

If you have any change in your identity document information which has not been updated to us, please inform us and provide the updated identity document for our retention.

如閣下的身份證明文件資料有任何變動而尚未告知我們，請通知我們並提供已更新的身份證明文件供我們儲存。

If you have any questions, please contact us at (852) 25439655/+86-4001201966.

閣下如有任何疑問，請致電(852) 25439655/+86-4001201966 與我們聯絡。

Yours sincerely,
此致

Taiping Securities (HK) Co Limited
太平証券(香港)有限公司

Reply Slip
回條

To: Taiping Securities (HK) Co Limited
致：太平証券(香港)有限公司

I/We have read and understood the Updates above. I/We acknowledge and agree that Taiping may collect, store, process, use, disclose and transfer my/our personal data for the purpose of the Hong Kong Investor Identification Regime in accordance with Taiping's updated Terms of Business and Personal Information Collection Statement.

本人／我們已閱讀並了解上述相關更新。本人／我們確認並同意太平可根據太平已更新的業務條款及個人資料收集聲明收集、儲存、處理、使用、披露及轉移本人／我們的個人資料用於香港投資者識別碼制度。

Signature of the Customer 客戶簽署

請用留存與本公司之簽名式樣 Please use the signature(s) field with our company

_____/_____/_____
(Date 日) (Month 月) (Year 年)

Account Name 帳戶名稱： _____

Account Number 帳戶號碼： _____

ID No. 身份證號碼 /

CI No. 公司註冊號碼： _____