

有關香港投資者識別碼制度及場外證券交易匯報制度的客戶識別信息收集（適用於公司證券賬戶）

根據香港聯合交易所有限公司（「聯交所」）與證券及期貨事務監察委員會（「證監會」）的規則和規定，在香港投資者識別碼制度及場外證券交易匯報制度下，我們需要向客戶收集最新的客戶識別信息，以呈交至聯交所及證監會。根據證監會的要求，提交客戶身分證明文件類別的優先次序排第為：**(a) 就公司客戶而言：**(1) 法律實體識別編碼（LEI）¹登記文件；(2) 公司註冊證明書；(3) 商業登記證；(4) 其他同等文件；**(b) 就屬信託客戶而言：**受託人的客戶識別信息的優先次序應與公司或個人客戶的客戶識別信息要求相同（詳見下表）。

請依照下列的優先排序依次填寫以下資料，如不適用，請填上 "N/A"。如果在開戶過程中並未提供根據證監會要求的身分證明文件類別優先次序的身分證明文件，**請提供相關身分證明文件的副本。**

公司客戶

第一優先	法律實體識別編碼:	第二優先	公司註冊證明書號碼:
			註冊地點:
第三優先	商業登記證號碼:	第四優先	其他同等文件，請註明:
	商業登記證發出地:		其他同等文件之號碼及發出地:

信託客戶的受託人

第一優先	香港身份證號碼:	第二優先	國民身分證號碼:	第三優先	護照號碼:
			國民身分證發出地:		護照發出地:

或

第一優先	法律實體識別編碼:	第二優先	公司註冊證明書號碼:
			註冊地點:
第三優先	商業登記證號碼:	第四優先	其他同等文件，請註明:
	商業登記證發出地:		其他同等文件之號碼及發出地:

備註：

本文所述的「券商客戶編碼」及「客戶識別信息」具有以下含義：

- 「券商客戶編碼」指一個符合聯交所訂明的格式及由相關持牌人或註冊人按照聯交所的規定產生的唯一識別碼。
- 「客戶識別信息」指與獲編配券商客戶編碼的客戶有關的以下資料：
 - (i) 身分證明文件上所示的全名；
 - (ii) 身分證明文件的簽發國家或司法管轄區；
 - (iii) 身分證明文件類別；及
 - (iv) 身分證明文件號碼。

¹ 法律實體識別編碼指 legal entity identifier（簡稱“LEI”），即金融穩定委員會在全球 LEI 體系下採納的 20 位字符代碼，旨在以獨有的方式識別出參與金融交易的特定法律實體。

貴公司明白並同意，我們，海盈證券有限公司為了向閣下提供與在香港聯合交易所（聯交所）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（證監會）的規則和規定，我們可收集、儲存、處理、使用、披露及轉移與閣下有關的個人資料（包括閣下的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中包括：

- (a) 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) 允許聯交所：(i) 收集、儲存、處理及使用的閣下個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii) 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) 為監察市場目的而使用有關資料進行分析；及
- (c) 允許證監會：(i) 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) 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。閣下亦同意，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。

閣下如未能向我們提供個人資料或上述同意，可能意味著我們不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

客戶確認及同意：

本公司同意上述之客戶識別信息收集，本公司承諾若本公司根據優先次序有更新的身分證明文件，或已提供的身分證明文件有任何更新，本公司將會立即通知海盈證券有限公司，並提供本公司更新的身分證明文件副本。

客戶簽署: _____
(請用留存於本公司之簽名/蓋印式樣)

賬戶號碼: _____

戶口名稱: _____

日期: _____

海盈證券專用			
Signature Check	Inputted By	Checked By	Approved By

Client Identity Data Collection concerning Hong Kong Investor Identification Regime (“HKIDR”) and Over-the-counter Securities Transactions Reporting Regime (“OTCR”) (Applicable to Corporate Securities account(s))

Pursuant to rules and regulations of the Stock Exchange of Hong Kong (“SEHK”) and the Securities and Futures Commission (“SFC”), under the rules and requirements of HKIDR and OTCR, we are required to obtain the updated client identification data (“CID”) from you, and submit to SEHK and the SFC. According to the rules and requirements of SEHK and the SFC, the waterfall (the “waterfall”) of identity document type under HKIDR and OTCR are collected in the order of priority: **(a) For a corporate client:** (1) Legal Entity Identifier (“LEI”)² registration document; (2) certificate of incorporation; (3) business registration certificate; (4) other equivalent documents; **(b) For a client that is a trust:** the CID of the trustee should be the same as that of a corporate or individual client (refer to the below table for details).

Please fill in details in the following descending order of priority and put “N/A” if not applicable. If the identification document (as required under the waterfall requirement of the SFC) is not provided during the account opening process, please **provide us with a copy of the identity document**.

Corporate client

1 st priority	Legal Entity Identifier registration No.:	2 nd priority	Certificate of Incorporation No.:
			Place of Incorporation:
3 rd priority	Business Registration Certificate No.:	4 th priority	Other Equivalent Documents, please specify:
	Place of Issue of Business Registration Certificate:		No. and Place of Issue of Other Equivalent Documents:

Trustee of trust account client

1 st priority	HKID Card No.	2 nd priority	National ID Card No.:	3 rd priority	Passport No.
			Place of Issue of National ID Card		Place of Issue of Passport:

or

1 st priority	Legal Entity Identifier registration No.:	2 nd priority	Certificate of Incorporation No.:
			Place of Incorporation:
3 rd priority	Business Registration Certificate No.:	4 th priority	Other Equivalent Documents, please specify:
	Place of Issue of Business Registration Certificate:		No. and Place of Issue of Other Equivalent Documents:

Note

The terms “BCAN” and “CID” used here shall bear the below meanings:

- “BCAN” means a “Broker-to-Client Assigned Number”, being a unique identification code in the format prescribed by SEHK, generated by a relevant licensed or registered person in accordance with SEHK’s requirements.
- “CID” means the following information in relation to a client to whom a BCAN is assigned:
 - (i) full name as shown on its identity document;
 - (ii) ID’s issuing country or jurisdiction;
 - (iii) ID type; and
 - (iv) ID number.

¹ LEI refers to the Legal Entity Identifier which is a 20-character alpha-numeric code under the Global LEI System adopted by the Financial Stability Board to uniquely identify distinct legal entities which participate in financial transactions.



You acknowledge and agree that we, Mouette Securities Company Limited, may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(s)) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes –

- (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;
- (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; and (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 (iii) use such information for conducting analysis for the purposes of market oversight; and
- (c) allowing the SFC to: (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 (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.

You also agree that 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.

Failure to provide us with your personal data or consent as described above may mean that we will not, or will no longer be able to, as the case may be, 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).

Client's Signature

We consent to the above Client identity data collection. We hereby undertake that if there are any updates of our identity documents according to the waterfall or any updates on the previously provided identity documents, we will notify Mouette Securities Company Limited immediately and provide a copy of the updated identity documents.

Client's Signature: _____
(Please use signature(s)/chop(s) filed with our Company)

Account No.: _____

Name of Account: _____

Date: _____

FOR Internal Use Only			
Signature Check	Inputted By	Checked By	Approved By