

北向交易投資者識別碼模式
關於「滬股通」、「深股通」股票交易服務之個人資料收集聲明
Northbound Investor ID Model

Personal Information Collection Statement concerning Stock Connect Trading Services

帳戶號碼

帳戶名稱

Account Number : _____

Account Name : _____

處理個人資料作為滬深港通北向交易的一部份

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

閣下確認並同意，在海盈證券有限公司(下稱「本公司」)為閣下提供滬深股通交易服務的過程中，本公司按要求必須：

You acknowledge and agree that in providing our Stock Connect Trading Services to you, Mouette Securities Limited (“we” or the “Company”) will be required to:

- (i) 在遞交至內地交易所的每個北向買賣盤中附加「券商客戶編碼」，而該等「券商客戶編碼」應是唯一編派予閣下或閣下之聯名帳戶(如有)；及
tag each of your orders submitted to the Mainland exchanges with a Broker-to-Client Assigned Number (“BCAN”) that is unique to you or the BCAN that is assigned to your joint account (if any); and
- (ii) 向香港聯合交易所有限公司(「聯交所」)提供閣下的「券商客戶編碼」及聯交所根據《交易所規則》不時要求提供閣下相對應的識別信息(「客戶識別信息」)。
provide to the Stock Exchange of Hong Kong Limited (“SEHK”) the assigned BCAN and such identification information (“Client Identification Data” or “CID”) relating to you as SEHK may request from time to time under the Rules of the Exchange.

不受限於本公司就處理閣下的個人資料而發出的任何通知，或閣下已給予本公司有關的同意，作為本公司提供「滬股通」、「深股通」交易服務的一部分，閣下確認並同意，本公司可收集、儲存、使用、披露和轉移閣下之個人資料，包括作出以下用途：

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

- (a) 不時向聯交所及聯交所子公司披露及轉移閣下之「券商客戶編碼」和「客戶識別信息」，包括在閣下遞交的北向買賣盤中附加上「券商客戶編碼」，並實時轉遞至內地交易所；
to disclose and transfer your BCAN and CID to the SEHK and the relevant SEHK Subsidiaries from time to time, including tagging your BCAN when submitting the northbound orders, which will be routed to the Mainland exchanges on a real-time basis;
- (b) 同意聯交所及聯交所子公司 (i) 收集、使用及儲存閣下之「券商客戶編碼」和「客戶識別信息」以及中國結算所提供的任何已綜合、核實和配對的「券商客戶編碼」和「客戶識別信息」資料(就儲存而言，可經由上述任何機構或香港交易所進行)，以作市場監控和監察目的及執行《交易所規則》；(ii) 就以下(c)及(d)段所述目的，不時向內地交易所(直接或透過中國結算)轉移此等資料；及 (iii) 向在香港的相關監管機構及執法機關披露此等資料，以助他們履行有關香港證券市場的監控、監察及執法職能；
to allow each of the SEHK 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 monitoring and surveillance purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the Mainland exchanges (directly or through the 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 monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets;
- (c) 同意中國結算 (i) 收集、使用及儲存閣下的「券商客戶編碼」和「客戶識別信息」，以便綜合及核實「券商客戶編碼」和「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，以提供給內地交易所、聯交所和聯交所子公司；(ii) 使用閣下之「券商客戶編碼」和「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) 向管轄中國結算的內地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證券市場的監控、監察及執法職能；
to allow China Connect Clearing House to: (i) collect, use and store your BCAN and CID to facilitate the consolidation and validation of the BCANs and CID and the mapping of such information with its own investor identification database for providing to the Mainland exchanges, SEHK and the SEHK Subsidiaries; and (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 the law enforcement agencies having jurisdiction over it so as to facilitate performance of their monitoring, surveillance and enforcement functions with respect to the Mainland securities markets;

- (d) 同意內地交易所 (i) 收集、使用及儲存閣下之「券商客戶編碼」和「客戶識別信息」，以助其就滬深港通下在內地交易所進行的證券交易進行監管與監察及執行內地交易所規則；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證券市場的監管、監察及執法職能。

to allow each of the Mainland exchanges to: (i) collect, use and store your BCAN and CID to facilitate their supervision and surveillance of securities trading on the Mainland exchange under Stock Connect and enforcement of the rules of the Mainland exchanges; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate performance of their supervision, surveillance and enforcement functions with respect to the Mainland securities markets.

如閣下向本公司發出有關「滬股通」及「深股通」證券交易的任何指令，即表示閣下確認並同意，本公司可能會不時使用閣下之個人資料，以遵守聯交所就滬深港通股票買賣服務不時有效的要求和規則。閣下亦確認，即使閣下日後表示撤回同意，閣下之個人資料（無論是在撤回同意之前或之後）可能會因上述目的而繼續被儲存、使用、披露、轉移或以其他方式處理。

By giving us any trading instruction 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 SEHK and its rules as in force from time to time in connect with the Shanghai Northbound Trading and Shenzhen Northbound Trading. You also acknowledge that despite any subsequent purported withdrawal of your consent, 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.

未能提供個人資料或同意之結果

Consequences of failing to provide personal data or consent

若閣下未能向本公司提供其個人資料或上述之同意，本公司將不會（或無法繼續）執行閣下的交易指令或向閣下提供「滬股通」「深股通」股票交易服務。

Failure to provide us with your personal data or the above-mentioned consent, we may not, or no longer be able to, carry out your trading instructions or provide you with our Shanghai Northbound Trading and Shenzhen Northbound Trading Services.

確認及同意

Acknowledgement and Consent

本人/吾等確認已閱讀並理解海盈證券有限公司之《北向交易投資者識別碼模式 - 關於「滬股通」、「深股通」股票交易服務之個人資料收集聲明》的內容。通過剔選以下之方格，本人/吾等表示同意 貴公司可根據本聲明中的條款及目的而使用本人/吾等之個人資料：

I/We confirm that I/we have read and understood the content of “Northbound Investor ID Model - Personal Information Collection Statement concerning Stock Connect Trading Services” issued by Mouette Securities Limited. By ticking the box below, I/we signify my/our consent for the Company to use my/our personal data on the terms of and for the purposes set out in this statement.

- 本人/吾等同意 貴公司將本人/吾等之個人資料用於本聲明所述之目的。

I/We agree to the Company's use my/our personal data for the purposes set out in this statement.

(請在方格內加 “ ” 號 Please tick “ ” the above box)

客戶簽署

Customer Signature ⁽¹⁾: _____

SV

日期

Date: _____

A/C Number: _____

備註 Remarks:

- (1) 客戶簽署必須與本公司記錄之簽署式樣相同 Client must sign in conformity with the specimen already registered with the Company.
(2) 請預留四個工作天，以便辦理上述安排。Please allow 4 working days for processing the above arrangement

公司專用 FOR OFFICE USE ONLY			
Checked	Input	Approved	Remarks