

有关香港投资者识别码制度及场外证券交易管理制度 客户同意书及个人资料收集声明

Client Consent and The Personal Information Collection Statement concerning Hong Kong Investor Identification Regime (“HKIDR”) and Over-the-counter Securities Transactions Reporting Regime (“OTCR”)

The Client acknowledge and agree that Guosen Securities (HK) Brokerage Company, Limited and other affiliates (“Guosen Securities (HK)”) may collect, store, process, use, disclose and transfer personal data relating to the Client (including Client’s CID and BCAN(s)) as required for Guosen Securities (HK) to provide services to the Client 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 –

客户明白并同意，国信证券（香港）经纪有限公司及其附属公司（下统称「国信证券（香港）」）为了向客户提供与在香港联合交易所（下称「联交所」）上市或买卖的证券相关的服务，以及为了遵守不时生效的联交所与证券及期货事务监察委员会（下称「证监会」）的规则和规定，国信证券（香港）可收集、储存、处理、使用、披露及转移与客户有关的个人资料（包括客户识别信息及券商客户编码）。在不限制以上的内容的前提下，当中包括——

- (a) disclosing and transferring the Client’s 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;
根据不时生效的联交所及证监会规则和规定，向联交所及/或证监会披露及转移客户的个人资料（包括客户识别信息及券商客户编码）；
- (b) allowing SEHK to: (i) collect, store, process and use the Client’s 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
允许联交所：(i) 收集、储存、处理及使用客户的个人资料（包括客户识别信息及券商客户编码），以便监察和监管市场及执行《联交所规则》；(ii) 向香港相关监管机构和执法机构（包括但不限于证监会）披露及转移有关资料，以便他们就香港金融市场履行其法定职能；及 (iii) 为监察市场目的而使用有关资料进行分析；及
- (c) allowing the SFC to: (i) collect, store, process and use the Client’s 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.
允许证监会：(i) 收集、储存、处理及使用客户的个人资料（包括客户识别信息及券商客户编码），以便其履行法定职能，包括对香港金融市场的监管、监察及执法职能；及(ii)根据适用法例或监管规定向香港相关监管机构和执法机构披露及转移有关资料。

The Client also agree that despite any subsequent purported withdrawal of consent by the Client, the Client’s personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

客户亦同意，即使客户其后宣称撤回同意，国信证券（香港）在客户宣称撤回同意后，仍可继续储存、处理、使用、披露或转移客户的个人资料以作上述用途。

Failure to provide Guosen Securities (HK) with the Client’s personal data or consent as described above may mean that Guosen Securities (HK) will not, or will no longer be able to, as the case may be, carry out the Client’s trading instructions or provide the Client with securities related services (other than to sell, transfer out or withdraw the Client’s existing holdings of securities, if any).

客户如未能向国信证券（香港）提供个人资料或上述同意，可能意味着国信证券（香港）不会或不能够再（视情况而定）执行客户的交易指示或向客户提供证券相关服务，惟出售、转出或提取客户现有的证券持仓（如有）除外。

Note: The terms “BCAN” and “CID” used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

备注：本条文所述的“券商客户编码”及“客户识别信息”具有《证券及期货事务监察委员会持牌人或注册人操守准则》第 5.6 段所界定的含义。