



國投證券(香港)有限公司  
SDIC Securities (Hong Kong) Limited  
香港中環交易廣場第一座 39 樓  
39/F., One Exchange Square, Central, Hong Kong  
電話 Tel 00852 2213 1000  
傳真 Fax 00852 2213 1010

**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

**Processing of Personal Data as part of the Stock Connect Northbound Trading** 處理個人資料作為中華通北向交易的一部份

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。

I/We acknowledge and agree that in providing SDIC Securities (Hong Kong) Limited 's Stock Connect Northbound Trading Service to me/us, SDIC Securities (Hong Kong) Limited ("**SDIC SECURITIES HK**") will be required to:

本人/吾等確認及同意國投證券(香港)有限公司向本人/吾等提供中華通北向交易服務時，國投證券(香港)有限公司（「國投證券(香港)」）將須：

- (i) tag each of my/our orders submitted to the China Stock Connect System ("**CSC**") with a Broker-to-Client Assigned Number ("**BCAN**") that is unique to me/us or the BCAN that is assigned to our joint account with SDIC SECURITIES HK, as appropriate; and  
使用本人/吾等獨有的由券商向客戶分配的編碼（「券商客戶編碼」）或（如吾等賬戶為聯名賬戶）吾等聯名賬戶獲分配的券商客戶編碼，標記本人/吾等向中華通交易系统遞交的每項買賣盤；及
- (ii) provide to the Exchange my/our assigned BCAN and such identification information ("**Client Identification Data**" or "**CID**") relating to me/us as the Exchange may request from time to time under the Rules of the Exchange.  
向交易所提供交易所根據交易所規則可能不時要求有關本人/吾等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 SDIC SECURITIES HK has given me/us or consent SDIC SECURITIES HK has obtained from me/us in respect of the processing of my/our personal data in connection with my/our account and SDIC SECURITIES HK's services to me/us, I/we acknowledge and agree that SDIC SECURITIES HK may collect, store, use, disclose and transfer personal data relating to me/us as required as part of SDIC SECURITIES HK's Stock Connect Northbound Trading Service, including as follows:

在不受限國投證券(香港)因就本人/吾等的賬戶及向本人/吾等提供服務而處理的個人資料，而由國投證券(香港)向本人/吾等發出的任何通知或國投證券(香港)從本人/吾等取得的同意下，本人/吾等確認及同意，作為國投證券(香港)提供中華通北向交易服務的一部份，國投證券(香港)可按要求收集、儲存、使用、披露及轉移有關本人/吾等的個人資料，其中包括以下各項：

- (a) to disclose and transfer my/our BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating my/our 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本人/吾等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本人/吾等的券商客戶編碼，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 my/our 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、使用及儲存本人/吾等的券商客戶編碼、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 my/our 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 my/our 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、使用及儲存本人/吾等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) 使用本人/吾等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



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(d) to allow the relevant China Connect Market Operator to: (i) collect, use and store my/our 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、使用及儲存本人/吾等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 SDIC SECURITIES HK in respect of any transaction relating to China Connect Securities, I/we acknowledge and agree that SDIC SECURITIES HK may use my/our 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. I/we also acknowledge that despite any subsequent purported withdrawal of consent by me/us, my/our 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國投證券(香港)發出指示，本人/吾等確認及同意國投證券(香港)可使用本人/吾等的個人資料，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。本人/吾等亦確認，即使本人/吾等其後表示有意撤回同意，本人/吾等的個人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** 未能提供個人資料或同意的後果

Failure to provide SDIC SECURITIES HK with my/our personal data or consent as described above may mean that SDIC SECURITIES HK will not, or no longer be able, as the case may be, to carry out my/our trading instructions or provide me/us with SDIC SECURITIES HK's Stock Connect Northbound Trading Service.

未能如上所述向國投證券(香港)提供本人/吾等的個人資料或同意，則國投證券(香港)可能不會或不能繼續（視情況而定）執行本人/吾等的交易指示或向本人/吾等提供中華通北向交易服務。

#### **Acknowledgement and Consent** 確認及同意

*I/We acknowledge I/we have read and understand the content of the Personal Information Collection Statement of SDIC Securities (Hong Kong) Limited. By ticking the box below, I/we signify my consent for SDIC Securities (Hong Kong) Limited to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.*

本人/吾等確認已閱讀及理解國投證券(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/吾等同意國投證券(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我的個人資料。



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I/We agree to SDIC Securities (Hong Kong) Limited's use of my/our personal data for the purposes set out in the Personal Information Collection Statement.

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Signed by 簽署:

Date 日期:

Account name 賬戶名稱

Account number 賬戶號碼: