



致： 潮商證券有限公司（香港證監會中央編號：BGH629）
香港灣仔港灣道26號華潤大廈22樓2206-2210室

（投資者識別碼模式）及個人資料收集聲明 - 客戶同意書

1) 處理個人資料作為於香港聯合交易所交易的一部分

您/ 汝等明白並同意，潮商證券有限公司（統稱“潮商證券”）為了向您/ 汝等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，潮商證券可收集、儲存、處理、使用、披露及轉移與您/ 汝等有關的個人資料（包括您/ 汝等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您/ 汝等的個人資料（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、處理及使用您/ 汝等的個人資料（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；
- (c) 允許證監會：(i)收集、儲存、處理及使用您/ 汝等的個人資料（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；及
- (d) 向香港中央結算有限公司（香港結算）提供券商客戶編碼以允許香港結算：(i)從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於您/ 汝等的客戶識別信息，及向發行人的股份過戶登記處轉移您/ 汝等的客戶識別信息，以便核實您/ 汝等未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及(ii)處理及儲存您/ 汝等的客戶識別信息，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移您/ 汝等的客戶識別信息，以便處理您/ 汝等對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。

您/ 汝等亦同意，即使您/ 汝等其後宣稱撤回同意，潮商證券在您/ 汝等宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移您/ 汝等的個人資料以作上述用途。

您/ 汝等如未能向潮商證券提供個人資料或上述同意，可能意味著潮商證券不會或不能夠再（視情況而定）執行您/ 汝等的交易指示或向您/ 汝等提供證券相關服務，惟出售、轉出或提取您/ 汝等現有的證券持倉（如有）除外。

備註：本條文所述的“券商客戶編碼”及“客戶識別信息”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》第5.6 段所界定的含義。

2) 處理個人資料作為中華通北向交易的一部分

您/ 汝等知悉及同意潮商證券(香港)有限公司（統稱“潮商證券”）在通過中華通北向交易服務過程中，潮商證券將被要求進行以下工作：

- (i) 對提交到中華通交易系統的每一個客戶委託，增加一個獨一無二且專屬於客戶的券商客戶編碼（以下簡稱“BCAN”）（適用於客戶持有單一帳戶）或分配給客戶的聯名帳戶的BCAN碼（適用於客戶持有聯名帳戶）；及
- (ii) 向香港交易所（以下簡稱“交易所”）提供已經編配給客戶的BCAN及相關客戶識別資訊（以下稱“客戶識別資訊”或“CID”），交易所可根據交易所規則而不時提出要求。

在處理與您帳戶相關的個人資料以及向您提供服務時，在不限制潮商證券已經向您作出的通知和已經取得的您的同意情況下，作為中華通北向交易服務的一部分，您知悉並同意潮商證券可能會收集、存儲、使用、披露並傳輸您的個人資料，包括



以下內容：

- (a) 不時向交易所及其相關聯交所子公司披露及傳輸您的BCAN及CID，包括向中華通交易系統輸入委託指令時標明您的 BCAN，並將進一步即時傳遞至相關中華通市場運營者；
- (b) 允許交易所及其相關聯交所子公司：(i) 收集、使用以及存儲您的BCAN、CID以及由相關中華通結算機構為市場監測監控目的和執行交易所規則而合併、驗證和配對的BCAN和CID資訊（資訊由中華通結算機構或交易所保存）；(ii) 為符合下文(c)及(d)規定的目的，不時將有關資料（直接或通過相關中華通結算機構）轉移給中華通市場運營者；
(iii) 向香港的相關監管機構和執法機構披露有關資料，以促進其香港金融市場法定職能的履行；
- (c) 允許相關中華通結算機構：(i) 收集、使用以及存儲您的BCAN和CID，以促進BCAN和CID的整合和驗證，以及BCAN和CID與投資者資料庫的配對，並將相應整合、驗證和配對的BCAN和CID資訊提供給相關中華通市場運營者、交易所及其相關聯交所子公司；
(ii) 使用您的BCAN和CID來履行其證券帳戶管理的監管職能；(iii) 向有管轄權的內地監管機構及執法機構披露有關資料，以促進其內地金融市場的監管、監察及執法職能的履行；
- (d) 允許相關中華通市場運營者：(i) 收集、使用以及存儲您的BCAN和CID，通過使用中華通服務及執行相關中華通市場營運商的規則，以促進其中華通市場的證券交易的監測監控；(ii) 向內地監管機構和執法機構披露有關資料，以協助履行其對金融市場的監管、監察及執法職能。

通過向潮商證券發出關於中華通證券交易的指示，您知悉並同意，為符合與中華通北向交易相關而不時更新的交易所要求和規則，潮商證券可以使用您的個人資料。您亦知悉，儘管您隨後聲稱撤回同意，但無論在您聲稱撤銷同意之前或之後，您的個人資料仍可繼續存儲、使用、披露、轉移以及其他處理以達到上述目的。

未能提供客戶同意書或個人資料所須承擔的後果

未能向潮商證券提供您的個人資料或作出上述同意，意味著根據具體情況潮商證券將不會或不能執行您的交易指令或向您提供中華通北向交易服務。

請客戶提供最新的客戶識別信息和附上相關身份證件副本

1) 只適用於個人客戶 (聯名戶口需額外填寫一份表格)

客戶帳戶號碼	
在身份證件上英文姓名	
在身份證件上中文姓名	
其他在身份證件上姓名 (如果不是英文或中文)	
身份證件類型 (根據身分證明文件類別優先次序要求) (備註)	第一優先: 香港身份證 第二優先: 國民身分證明文件 第三優先: 護照
身份證件頒發國家/地區	
身份證件號碼	
身份證件到期日	



2) 只適用於公司/信託客戶

客戶帳戶號碼	
(公司客戶) 在身份證件上公司英文完整名稱 / (信託客戶) 在身份證件上受託人的英文姓名或英文公司完整名稱	
(公司客戶) 在身份證件上公司中文完整名稱 / (信託客戶) 在身份證件上受託人的中文姓名或中文公司完整名稱	
其他在身份證件上姓名 (如果不是英文或中文)	
身份證件類型 (根據身分證明文件類別優先次序要求) (備註)	<p><u>公司客戶</u></p> <p>第一優先: 法律實體識別編碼 (LEI) 登記文件 第二優先: 公司註冊證明書 第三優先: 商業登記證 第四優先: 其他同等文件</p> <p><u>信託客戶的受託人</u></p> <p>第一優先: 香港身份證 第二優先: 國民身分證證明文件 第三優先: 護照</p> <p>或</p> <p>第一優先: 法律實體識別編碼 (LEI) 登記文件 第二優先: 公司註冊證明書 第三優先: 商業登記證 第四優先: 其他同等文件</p>
身份證件頒發國家/地區	
身份證件號碼	
身份證件到期日	

備註: 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, 請向本公司提供身分證明文件的副本。例如, 對於持有香港身份證但在開戶程序中未有提供此類文件的個人客戶, 閣下需要向本公司提供以上客戶識別信息和香港身份證副本。

確認及同意

本人/吾等確認本人/吾等已經閱讀並理解潮商證券個人資料收集聲明的內容。通過勾選下面的方框, 本人/吾等同意潮商證券根據個人資料收集聲明中的條款和目的使用我的個人資料。本人/吾等特此聲明, 上述提供之信息完整及正確, 沒有提供任何虛假或誤導性信息或虛假陳述。

- ☐ 本人/吾等同意潮商證券將本人/吾等的個人資料用於處理個人資料作為於香港聯合交易所交易的一部分所載的目的, 以開通香港股票交易。
- ☐ 本人/吾等同意潮商證券將本人/吾等的個人資料用於處理個人資料作為中華通北向交易的一部分所載的目的, 以開通中華通股票交易, 並確認本人並非持有中國內地身份證文件的中國公民和在中國內地註冊的法人及非法人組織。

X _____
 客戶簽署 Client's Signature(s)

X _____
 日期 Date

(如屬公司戶口, 請加蓋公司印鑑。For corporate account, please affix with company chop.)

客戶簽署必須與本公司記錄之簽署式樣相



To: ChaoShang Securities Limited (SFC CE No.: BGH629)
Rooms 2206-2210, 22/F, China Resources Building, 26 Harbour Road,
Wanchai, Hong Kong

Consent Letter on (Investor Identification Model) and the Personal Information Collection Statement

1) Processing of Personal Data as part of Trading on the Stock Exchange of Hong Kong

You acknowledge and agree that ChaoShang Securities Limited ("CSL") 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;
- (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; and
- (d) providing BCAN to Hong Kong Securities Clearing Company Limited (HKSCC) allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store your CID and transfer your CID to the issuer's share registrar to enable HKSCC and/ or the issuer's share registrar to verify that you have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store your CID and transfer your CID to the issuer, the issuer's share registrar, the SFC, SEHK and any other party involved in the IPO for the purposes of processing your application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.

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 CSL 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).

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."

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

In view of ChaoShang Securities Limited's ("CSL") provision of Stock Connect Northbound Trading Services to you, you acknowledge and agree that CSL will be required to:

- (iii) tag each of your orders submitted to the China Stock Connect ("CSC") with Broker-to-Client Assigned Number ("BCAN") that is unique to you (*for you having single account*) or to your joint account (*for you having a joint account*) with CSL, as appropriate; and
- (iv) provide to the SEHK your assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to you as the SEHK may request from time to time under the Rules of the Exchange.

Without limitation to any notification CSL have given you or consent CSL have obtained from you in respect of the processing of your personal data in connection with your account and CSL's services to you, you acknowledge and agree that CSL may collect, store, use, disclose and transfer personal data relating to you as required as part of CSL's Stock Connect Northbound Trading Service, including as follows:

- (a) to disclose and transfer your BCAN and CID to the Exchange/SEHK and the relevant SEHK Subsidiaries from time to time, including by indicating your 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;
- (b) to allow each of the Exchange/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 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;

- (c) to allow the relevant China Connect Clearing House to: (i) collect, use and store your 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/SEHK and the relevant SEHK Subsidiary; (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 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
- (d) to allow the relevant China Connect Market Operator to: (i) collect, use and store your 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.

By instructing CSL in respect of any transaction relating to China Connect Securities, you acknowledge and agree that CSL may use your personal data for the purposes of complying with the requirements of the Exchange/SEHK and its rules as in force from time to time in connection with the Stock Connect Northbound Trading. You also acknowledge that despite any subsequent purported withdrawal of consent by you, 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.

Consequences of failing to provide Personal Data or Consent

Failure to provide CSL with your personal data or consent as described above may mean that CSL will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with CSL's Stock Connect Northbound Trading Service.

Please provide the latest client identification data and attached a copy of identity document.

• For Individual Client Only (Joint account need to fill in separated form)

Client account number	
Name in English on the ID	
Name in Chinese on the ID	
Other name on the ID (If it is not in English or Chinese)	
Identity document ("ID") type according to the waterfall requirement (<i>Remarks</i>)	1 st priority: HKID card 2 nd priority: National identification document 3 rd priority: Passport
ID's issuing country / jurisdiction	
ID number	
ID expiry date	

For Corporate / Trust Client Only

Client account number	
(Corporate client) Full legal entity name in English on the ID / (Trust client) Name of the trustee in English on the ID	
(Corporate client) Full legal entity name in Chinese on the ID / (Trust client) Name of the trustee in Chinese on the ID	
Other name on the ID (If it is not in English or Chinese)	



Identity document ("ID") type according to the waterfall requirement (Remarks)	<u>Corporate client</u>
	1 st priority: LEI registration document
	2 nd priority: Certificate of incorporation
	3 rd priority: Business registration certificate
	4 th priority: Other relevant documents
	<u>Trustee of trust account client</u>
	1 st priority: HKID card
	2 nd priority: National identification document
	3 rd priority: Passport
	or
	1 st priority: LEI registration document
	2 nd priority: Certificate of incorporation
	3 rd priority: Business registration certificate
	4 th priority: Other relevant documents
ID's issuing country / jurisdiction	
ID number	
ID expiry date	

Remarks: 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. For instance, for individual client who has HKID card but such document is not provided in the account opening process, you are required to provide the above identification data and HKID copy to us accordingly.

Acknowledgement and Consent

I/We acknowledge I/We have read and understand the content of the above Personal Information Collection Statement of CSL. By ticking the box below, I/We signify my/our consent for CSL to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement. I/We hereby state that the above information given is complete and accurate and that no false or misleading information or false statements have been given.

- ☐ I/We agree to CSL's use of my/our personal data for the purposes set out in the **Processing of Personal Data as part of Trading on the Stock Exchange of Hong Kong**, to activate trading of **Hong Kong Stock**.
- ☐ I/We agree to CSL's use of my/our personal data for the purposes set out in the **Processing of Personal Data as part of the Stock Connect Northbound Trading**, and confirm I/ We are not **Chinese Citizen and holder of identity documents issued by Mainland China or Incorporated association/ Unincorporated association registered in Mainland China**, to activate the trading of **China Connect Stock**.

X _____
 客戶簽署 Client's Signature(s)

X _____
 日期 Date

(如屬公司戶口,請加蓋公司印鑑。For corporate account, please affix with company chop.)

Client must sign in conformity with the specimen already registered with the Company.