



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

处理有关 [中华通北向交易] 个人资料

You acknowledge and agree that in providing PC Securities Limited's ("We" or "Our") [Stock Connect Northbound Trading Service] to you, we will be required to :

您确认并同意寶鉅證券有限公司（「寶鉅證券」或「我们」）在向您提供[中华通北向交易服务]时，寶鉅證券将被要求：

- i. Tag each of your orders submitted to the CSC with [a Broker-to-Client Assigned Number ("BCAN") that is unique to you]; and
以[每一个客户均为独特的券商客户编码（「BCAN」）]标记每一个您提交予中华证券通系统的交易指示；及
- ii. Provide to the Exchange your assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to you as the Exchange may request from time to time under the Rules of the Exchange.
向交易所提供您的指定 BCAN 以及交易所根据交易所规则可能不时要求的与您有关的身份数据（「客户识别信息」或「CID」）。

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

在不受此前就有关于处理与您的账户及我们向您提供服务相关的个人资料已向您提供的任何通知或我们已向您取得同意的限制下，您确认并同意寶鉅證券可以收集、存储、使用、披露及根据需要传输与您有关的个人资料，作为我们[中华通北向交易服务]的一部分，包括以下内容：

- (a) To disclose and transfer your BCAN and CID to the Exchange 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:不时向交易所及联交所相关附属公司披露及转交您的 BCAN 及 CID，包括在中华证券通系统输入中华通买卖盘时标示您的 BCAN，并将进一步实时传送至相关中华通市场营运者；
- (b) To allow each of the Exchange 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;
允许每一交易所及联交所相关附属公司：(i)收集，使用及储存您的 BCAN，CID 及任何经相关中华通结算所提供的已整合、已验证及已配对之 BCAN 及 CID 数据（而就储存而言，任何其中之一或透过港交所）作为市场监督和监控之用以及执行交易所规则；(ii)不时为下文(c)及(d)段所载之目的将有关资料转交予相关中华通市场营运者（不论直接或透过相关中华通结算所）；及(iii)向香港的有关监管机构及执法机构披露有关资料，以协助其履行其有关香港金融市场之法定职能；
- (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 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
允许相关中华通结算所：(i)收集，使用及储存您的 BCAN 及 CID，以促进对 BCAN 和 CID 之整合及验证以及 BCAN 和 CID 与其投资者身份数据库的配对，并提供此等已整合、已验证及已配对之 BCAN 及 CID 资料予有关中华通市场营运者、交易所及联交所相关附属公司；(ii)使用您的 BCAN 和 CID 以履行其证券账户管理的监管职能；及(iii)向有管辖权的内地监管机构及执法机构披露有关资料，以便其履行对内地金融市场的监管、监察及执法职能；及
- (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.



允许有关的中华通市场营运者：(i)通过使用中华通服务及执行中华通市场营运者之相关规例收集、使用及储存您的 BCAN 及 CID 以便监督及监控相关中华通市场上的证券交易；及(ii)向内地监管机构及执法机构披露有关资料，以便其履行对内地金融市场的监管、监察及执法职能。

By instructing us in respect of any transaction 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 Exchange 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.

通过就与中华通证券有关的任何交易向我们发出指示，您确认并同意我们可能会使用您的个人资料，以遵守交易所之要求及不时有效之有关中华通北向交易之规则。您亦确认尽管您随后表示撤回同意，但无论是在您撤回同意之前还是之后，您的个人资料仍可继续被储存、使用，披露，转交及以其他方式处理以达到上述目的。

Consequences of failing to provide Personal Data or Consent
未能提供个人资料或同意的后果

Failure to provide us with your personal data or consent as described above may mean that we will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with our [Stock Connect Northbound Trading Service]. 未能向我们提供您的上述个人资料或同意可能意味着我们不会或不能，视情况而定，执行您的交易指令或向您提供我们的[中华通北向交易服务]。

Acknowledgement and Consent

I acknowledge I have read and understand the content of the Personal Information Collection Statement of PC Securities Limited. By ticking the box below, I signify my consent for PC Securities Limited to use my personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

确认和同意

我确认我已阅读并理解寶鉅證券有限公司的【中华通北向交易之个人资料收集声明】（“声明”）的内容。通过勾选下面的方框，我表示我同意寶鉅證券有限公司根据此声明中的条款和所载之目的使用我个人资料。

I agree to PC Securities Limited's use of my personal data for the purposes set out in the Personal Information Collection Statement.

我同意寶鉅證券有限公司将我个人资料用于【中华通北向交易之个人资料收集声明】所载的目的。

Applicant(s) Signature 申请人签署	
[Signature]	
Authorized Signature(s) with company chop 获授权签署及公司盖章	
Name (Please use block letter) 姓名 (请使用正楷)	Date 日期
Account Number 帐户号码	
<p>Please submit your completed form in original (total 2 pages) in person by visiting our company or by mailing. For inquiries, please do not hesitate to contact us at (852) 3160 8885. 请将已填妥的表格完整正本（共两页）亲临本公司或以邮寄递交，如欲查询，请致电 (852) 3160 8885 与客户服务部联络。</p> <p>Address : 11/F, Lee Garden Five, 18 Hysan Avenue, Causeway Bay, Hong Kong 地址：香港铜锣湾希慎道 18 号利园五期 11 楼</p>	

Note:

The Chinese version of this Personal Information Collection Statement is for reference only. In case of difference between the Chinese version and the English version, the English version shall prevail.

本个人资料收集声明的中文版本仅作参考用途，若中英文版本如存在任何差异，以英文版本为准。

Process Date : _____		FOR OFFICE USE ONLY		Received Date : _____	
Remark					
Signature Verified by		F.O. Checker	B.O. Maker	B.O. Checker	R.O.