



國信證券(香港)經紀有限公司
GUOSEN SECURITIES (HK) BROKERAGE COMPANY, LIMITED

**Client Consent on The Northbound Investor ID Model
and The Personal Information Collection Statement concerning Northbound China Connect Orders
客户同意书**

有关「北向交易投资者标识符模式」及 有关中华通北向交易委托的个人资料收集声明

**Processing of Personal Data as part of the Stock Connect Northbound Trading
处理个人资料作为沪深港通北向交易的一部份**

The Client acknowledge and agree that in providing Guosen Securities (HK) Brokerage Company, Limited's ("Guosen Securities (HK)") Stock Connect Northbound Trading Service to Client, Guosen Securities (HK) will be required to:

客户知悉及同意有关向客户提供的沪深港通北向交易服务，国信证券(香港)经纪有限公司(“国信证券(香港)”)将被要求进行以下工作：

- (i) tag each of Client's orders submitted to the China Stock Connect ("CSC") with a Broker-to-Client Assigned Number ("BCAN") that is unique to Client (for clients having single account) / tag each of Client's orders submitted to the CSC with a Broker-to-Client Assigned Number ("BCAN") that is unique to Client or the BCAN that is assigned to Client's joint account with Guosen Securities (HK), as appropriate (for clients having a joint account); and
对客户每一个提交到中华通交易系统的委托，加上一个独一无二而且专属于客户的券商客户编码(以下简称「BCAN」)(适用于客户持有单一账户)/对客户每一个提交到中华通交易系统的委托，加上一个独一无二而且专属于客户的券商客户编码(以下简称「BCAN」)或加上一个编配给客户联名账户的 BCAN 码(适用于客户持有联名账户)；及

- (ii) provide to the Exchange Client's assigned BCAN and such identification information (For Individual: English and Chinese Name, nature of identification document (ID/passport), identification number, issuing country; and For Corporation: English and Chinese name (if any), Certificate of Incorporation Number (If Certificate of Incorporation is unavailable in the jurisdiction where the entity is incorporated or established, the identification number as appeared in the official incorporation document of the entity issued by the relevant official body in the place of incorporation or establishment of the entity should be provided.) and issuing country) (hereinafter referred to as "Client Identification Data" or "CID") relating to Client as the Exchange may request from time to time under the Rules of the Exchange.

向交易所提供已编配给客户的 BCAN 码及有关客户的识别信息，包括：个人客户的中文及英文名、证件类型（ID/护照）、证件号码、签发国家；机构客户的中文及英文名（如果有，必须要提供）、公司注册证编号（如果注册证书在实体成立或成立的司法管辖区不可用，则应提供显示于相关官方机构在注册地或成立地点发布的实体的官方注册文件中的注册编号。）及签发国家。（「客户识别信息」或以下简称「CID」），一切皆由于，交易所可根据交易所规则而不时提出的要求。

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

有关处理客户账户上及为客户提供服务上的个人资料，在限制国信证券(香港)过往已发给客户任可相关通知或已从客户那边取得任何相关同意的情况下，客户现在知悉及同意国信证券(香港)可因应沪深港通北向交易服务而收集、保存、使用、透露及转发有关客户的个人资料，包括如下：

- (a) to disclose and transfer Client's BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating Client's 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;
不时透露及转发客户的 BCAN 码及 CID 给交易所及相关的香港交易所子公司，透过将中华通交易委托输入中华通交易系统，而该委托将会实时被转到相关的中华通市场营运者时，国信证券(香港)在该委托上标示出客户的 BCAN 码；
- (b) to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store Client's 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;

容许每一个交易所及相关的香港交易所子公司：(i) 收集、使用及保存客户的 BCAN、CID 及任何由相关的中华通结算所提供已整合、已验证及已配对的 BCAN 及 CID 信息(信息由他们保存或透过香港交易所保存)用作监控、监察市场及执行交易所规则；(ii) 不时为了满足以下(c)及(d)段的目的而须要(直接或透过相关中华通结算所)转发这些信息到相关的中华通市场运营者；及(iii) 透露这些信息给在香港相关的监管机构及执法机关，以致有助他们在香港金融市场上提升他们的法定功能；

- (c) to allow the relevant China Connect Clearing House to: (i) collect, use and store Client's 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 Client's 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

容许相关的中华通结算所：(i) 收集、使用及保存客户的 BCAN 及 CID，有助进行对 BCAN 及 CID 的整合及验证，以及进行对 BCAN 及 CID 与投资者识别数据库之间的配对，从而提供已整合、已验证及已配对的 BCAN 及 CID 信息给相关的中华通市场运营者、交易所及相关的香港交易所子公司；(ii) 透过使用客户的 BCAN 及 CID 来表现出在证券账户管理上的监管功能；及(iii) 透露这些信息给对此有司法权的中国大陆监管当局及执法机关，以致有助他们在中国大陆金融市场上提升他们的监管、监察及执法功能；及

- (d) to allow the relevant China Connect Market Operator to: (i) collect, use and store Client's 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.

容许相关的中华通市场运营者：(i) 收集、使用及保存客户的 BCAN 及 CID，有助透过应用中华通服务及执行相关中华通市场运营者所订定的规则来监控及监察在相关中华通市场上的证券交易；及(ii) 透露这些信息给对此有司法权的中国大陆监管当局及执法机关，以致有助他们在中国大陆金融市场上提升他们的监管、监察及执法功能。

By instructing Guosen Securities (HK) in respect of any transaction relating to China Connect Securities, Client acknowledge and agree that Guosen Securities (HK) may use Client's 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. The Client also acknowledge that despite any subsequent purported withdrawal of consent by Client, Client's 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.

透过给国信证券(香港)有关中华通证券相关交易的指示，客户知悉及同意国信证券(香港)为符合交易所的要求及符合其对沪深港通北向交易持续有效的规则而使用客户的个人资料。客户亦知悉尽管客户之后据称有任何撤回同意，不论在客户据称撤回同意之前或之后，客户的个人资料仍可被保存、使用、透露、转发及以其他方式用作以上用途。

Consequences of failing to provide Personal Data or Consent

不提供同意书或个人资料所须承担的后果

Failure to provide Guosen Securities (HK) with Client's personal data or consent as described above may mean that Guosen Securities (HK) will not, or no longer be able, as the case may be, to carry out Client's trading instructions or provide Client with Guosen Securities (HK)'s Stock Connect Northbound Trading Service.

不提供上述客户的同意书或个人资料，即表示国信证券(香港)将不会或不再能够处理客户的交易指示或向客户提供沪深港通北向交易服务。