



## Processing of Personal Data as part of the Hong Kong Investor Identification Regime (HKIDR), Over-the-counter Securities Transactions Reporting Regime (OTCR) and Stock Connect Northbound Trading

處理客戶個人資料以用作香港投資者識別碼制度、場外證券交易匯報制度及滬深港通之

### 北向交易

To: Celestial Securities Limited (“CSL”)

致：時富證券有限公司（「時富證券」）

Please post your completed form to **Client Services Department, 22/F, Manhattan Place, 23 Wang Tai Road, Kowloon Bay, Hong Kong** or by visiting the Services Centres of CASH Financial Services Group. Your request will be processed within 2 working days upon receipt of the duly completed form. For inquiries, please do not hesitate to contact us at **(852) 2663 8888**. 請將已填妥的表格郵寄至**香港九龍灣宏泰道 23 號 Manhattan Place 22 樓客戶服務部**或交回時富金融服務集團各服務中心。本公司將在收到填妥的表格後兩個工作天內處理您的申請。如欲查詢，請致電**(852) 2663 8888** 與客戶服務部聯絡。

You acknowledge and agree that in providing our securities related services or Stock Connect Northbound Trading Service to you, we will be required to:

閣下確認及同意，在為閣下提供本公司的證券相關服務或滬深港通北向交易服務時，本公司會被要求：

- (i) tag each of your orders submitted to the China Stock Connect System (“CSC”) with a Broker-to-Client Assigned Number (“BCAN”) that is unique to you or the BCAN that is assigned to your joint account with us, as appropriate; and  
將閣下提交給滬深港通路由系統的每個交易都附加一個閣下獨有的或（按需要）閣下聯名賬戶獨有的券商客戶編碼；及
- (ii) provide to The Stock Exchange of Hong Kong Limited (“SEHK”) your assigned BCAN and such identification information (“Client Identification Data” or “CID”) relating to you as SEHK may request from time to time under the Rules of the Exchange.  
根據香港聯合交易所有限公司（「聯交所」）按交易所規則的不時要求，向聯交所提供閣下被分配的券商客戶編碼及有關的身份資料（「客戶識別信息」）。

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 for us to provide services to you in relation to securities listed or traded on SEHK, for complying with the rules and requirements of SEHK and the Securities and Futures Commission (“SFC”) in effect from time to time, and/or as part of our Stock Connect Northbound Trading Service. Without limiting the foregoing, this includes: -

在不限於就處理與閣下賬戶相關的個人資料及本公司向閣下提供服務時，本公司向閣下提供的任何通知或閣下向本公司提供的同意的同時，閣下確認並同意，作為本公司的證券相關服務或滬深港通北向交易服務的一部分，本公司可能會按需要收集、儲存、使用、披露並轉移與閣下有關係的個人資料，包括以下內容：

- (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;  
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閣下的個人資料（包括客戶識別信息及券商客戶編碼）；
- (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;  
允許聯交所：(i)收集、儲存、處理及使用閣下的個人資料（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) 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;  
允許證監會：(i)收集、儲存、處理及使用閣下的個人資料（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；
- (d) to disclose and transfer your BCAN and CID to SEHK and the relevant subsidiaries established by SEHK under Stock Connect (“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;  
不時向聯交所及聯交所就滬深港通而成立的各子公司（「聯交所子公司」）披露及轉移券商客戶編碼及客戶識別信息，包括於滬深港通路由系統輸入滬深港通買賣盤時顯示閣下的券商客戶編碼，並將進一步實時傳送至相關的滬深港通市場營運者；
- (e) to allow each of 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 Hong Kong Exchanges and Clearing Limited) 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;



## Processing of Personal Data as part of the Hong Kong Investor Identification Regime (HKIDR), Over-the-counter Securities Transactions Reporting Regime (OTCR) and Stock Connect Northbound Trading

### 處理客戶個人資料以用作香港投資者識別碼制度、場外證券交易匯報制度及滬深港通之北向交易

准許聯交所及相關的聯交所子公司：(i) 收集、使用及儲存（由任何一方或透過香港交易及結算所有限公司儲存）券商客戶編碼、客戶識別信息及由相關滬深港通結算所提供的任何已綜合、核實及配對的券商客戶編碼及客戶識別信息資料，以用作市場監察和監控目的及執行交易所規則；(ii) 不時向相關的滬深港通市場營運者（直接或透過相關的滬深港通結算所）轉移此等資料，以作以下第(c)及(d)項的目的；及 (iii) 向在香港的相關監管機構及執法機關披露此等資料，以助他們履行有關香港金融市場的法定職能；

- (f) 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, SEHK and the relevant SEHK Subsidiaries; (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

准許相關滬深港通結算所：(i) 收集、使用及儲存 閣下的券商客戶編碼及客戶識別信息，以便綜合及核實券商客戶編碼與客戶識別信息，及將此類信息與其投資者身份數據庫進行配對，並提供此類已綜合、核實及配對的券商客戶編碼及客戶識別信息資料給相關的滬深港通市場營運者、聯交所及相關的聯交所子公司；(ii) 使用 閣下的券商客戶編碼及客戶識別信息來協助其履行證券賬戶管理的監管職能；及 (iii) 向內地監管機構及執法機關披露此等資料，以助他們履行有關內地金融市場的監管、監察及執法職能；及

- (g) 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.

准許相關滬深港通市場營運者：(i) 收集、使用及儲存 閣下的券商客戶編碼及客戶識別信息，以助其就滬深港通服務的使用下，在相關的滬深港通市場進行的證券交易進行監察與監控及執行相關滬深港通市場營運者的規則；及 (ii) 向內地的監管機構及執法機關披露此等資料，以助他們履行有關內地金融市場的監管、監察及執法職能。

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 SEHK and its rules as in force from time to time in connection with the Stock Connect Northbound Trading. You also acknowledge and agree 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.

通過向本公司發出就與滬深港通證券有關的任何交易指示，閣下確認並同意本公司可能會使用 閣下的個人資料，以遵守聯交所有關滬深港通北向交易不時有效的規定及規則。閣下亦確認並同意，儘管 閣下隨後表示撤回同意，無論是在此類聲稱的撤銷同意之前或之後，閣下的個人資料仍可繼續被儲存、使用、披露、轉讓及以其他方式處理以達到上述目的。

#### 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 us with your personal data or consent as described above may mean that we will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with our Stock Connect Northbound Trading Service or securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

閣下如未能向我們提供個人資料或上述同意，可能意味著我們不會或不能夠再（視情況而定）執行 閣下的交易指示或向閣下提供本公司的滬深港通北向交易服務或證券相關服務，惟出售、轉出或提取 閣下現有的證券持倉（如有）除外。

#### Notes/備註:

- (1) The terms "BCAN" and "CID" used in this form 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.  
本表格中所述的“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) In case of discrepancy between the English version and the Chinese version of this form, the English version shall prevail.  
本表格中英文版本如有歧異，概以英文版本為準。

#### Acknowledgement and Consent 確認及同意

I/We acknowledge I/We have read and understand the content of the "Processing of Personal Data as part of the HKIDR, OTCR and Stock Connect Northbound Trading" of CSL. By signing this form, I/We signify my/our consent and agree for CSL to use my/our personal data on the terms of and for the purposes set out in the "Processing of Personal Data as part of the HKIDR, OTCR and Stock Connect Northbound Trading". I/We understand all the provisions set out in the Processing of Personal Data as part of HKIDR and OTCR and accept and agree to be bounded thereby. I/We understand all the provisions set out in the Shanghai-Hong Kong and Shenzhen-Hong Kong Stock Connect Terms and Conditions and accept and agree to be bounded thereby.

本人/吾等確認本人/吾等已閱讀並明白時富證券「處理客戶個人資料以用作香港投資者識別碼制度、場外證券交易匯報制度及滬深港通之北向交易」的內容。通過簽署此表格，本人/吾等表示本人/吾等同意時富證券可根據「處理客戶個人資料以用作香港投資者識別碼制度、場外證券交易匯報制度及滬深港通之北向交易」中的條款及用途使用本人/吾等的個人資料。本人/吾等明白處理客戶個人資料



**Processing of Personal Data as part of the Hong Kong Investor Identification Regime (HKIDR), Over-the-counter Securities Transactions Reporting Regime (OTCR) and Stock Connect Northbound Trading**

**處理客戶個人資料以用作香港投資者識別碼制度、場外證券交易匯報制度及滬深港通之北向交易**

料以用作香港投資者識別碼制度、場外證券交易匯報制度條款及細則，並接受及同意受該等文件約束。本人／吾等明白滬港通及深港通條款及細則，並接受及同意受該等文件約束。

I/We consent and agree to CSL's use of my/our personal data for the purpose set out in this form, in connection with my/our securities account(s) set up for the services related to (please tick one): -

本人／吾等同意時富證券可根據此表格中的條款及用途為本人／吾等提供證券相關服務，並使用本人／吾等的個人資料(請勾選一項): -

- Hong Kong securities related services;  
香港的證券相關服務;
- Hong Kong securities related services and Stock Connect Northbound Trading Service  
香港的證券相關服務及滬深港通北向交易服務;

**Client Type 客戶類別\***

\*以“✓”號選擇最少一項 tick "✓" at least one

- 1 = Individual 個人帳戶;
- 2 = Joint Account 聯名帳戶;
- 3 = Legal Entity – Funds 法人實體 - 資金;
- 4 = Legal Entity – Fund managers and others 法人實體 - 基金經理及其他人員;
- 5 = Proprietary or Principal Trading 專有或主要交易。

Client Signature(s) 客戶簽署	× Please use the signature(s) field with our company 請用留存本公司之印鑑式樣	Account No. 戶口號碼	
Client Name 客戶名稱		Date 日期	day 日 / month 月 / year 年
<b>For official use only 僅供職員填寫</b>			
<input type="checkbox"/> Original <input type="checkbox"/> Face to face	Phone verified by	Phone number	Date
Handled by	Verified by	Approved by	Input by
			Time
			Checked by