

個人資料收集聲明 - 中華通北向交易服務
Personal Information Collection Statement – Northbound China Connect Trading Services

本人（等）／本公司確認及同意招商永隆銀行有限公司（「貴行」）向本人（等）／本公司提供中華通北向交易服務時，貴行須：

I/We acknowledge and agree that in providing Stock Connect Northbound Trading Service to me/us by CMB Wing Lung Bank (“the Bank”), the Bank will be required to:

- (i) 以一個獨立之券商客戶編碼（“BCAN”）附加於本人（等）／本公司每一個向中華通發出之指示；及 tag each of my/our orders submitted to the China Stock Connect with a Broker-to-Client Assigned Number (“BCAN”) that is unique to me/us; and
- (ii) 按聯交所規則，不時向香港聯合交易所有限公司（「聯交所」）提供編派予本人（等）／本公司之券商客戶編碼以及本人（等）／本公司之識別資料（「客戶識別信息」或“CID”）。 provide to The Stock Exchange of Hong Kong Limited (“SEHK”) my/our assigned BCAN and such identification information (“Client Identification Data” or “CID”) relating to me/us as the SEHK may request from time to time under the Rules of the SEHK.

貴行向本人（等）／本公司發出之任何通知或貴行取得本人（等）／本公司之同意的情況下向本人（等）／本公司提供之服務處理本人（等）／本公司之個人資料而向本人（等）／本公司取得之同意的情况下，本人（等）／本公司確認及同意，根據貴行中華通北向交易服務之一部份，貴行可收集、儲存、使用、披露和轉移本人（等）／本公司之個人資料，包括但不限於：

Without limitation to any notification the Bank has given me/us or consent the Bank has obtained from me/us in respect of the processing of my/our personal data in connection with my/our account and services of the Bank to me/us, I/we acknowledge and agree that the Bank may collect, store, use, disclose and transfer personal data relating to me/us as required as part of Stock Connect Northbound Trading Service of the Bank, including:

- (a) 不時向聯交所及相關之聯交所附屬公司披露和轉移本人（等）／本公司之券商客戶編碼及客戶識別信息，包括當於中華通輸入一個中華通指示時顯示本人（等）／本公司之券商客戶編碼，並即時傳遞該編碼至相關中華通市場營運者； to disclose and transfer my/our BCAN and CID to the SEHK and the relevant SEHK Subsidiaries from time to time, including by indicating my/our BCAN when inputting a China Connect Order into the China Stock Connect, which will be further routed to the relevant China Connect Market Operator on a real-time basis;
- (b) 容許每一個聯交所及相關聯交所附屬公司 (i) 收集、使用及儲存本人（等）／本公司之券商客戶編碼、客戶識別信息及任何由相關中華通結算所（就儲存而言，由上述任何機構或透過香港交易及結算所有限公司）提供之任何已整合、驗證及配對之券商客戶編碼及客戶識別信息資料，用作市場監控和監察目的及執行聯交所規則；(ii) 就以下(c)及(d)點所述目的，不時轉移此等資料至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) 向香港相關監管機構及執法部門透露此等資料，以就香港金融市場而言，促進其履行法定職責； to allow each of the SEHK 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 Hong Kong Exchanges and Clearing Limited) for market surveillance and monitoring purposes and enforcement of the Rules of the SEHK; (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) 容許相關中華通結算所 (i) 收集、使用及儲存本人（等）／本公司之券商客戶編碼及客戶識別信息，以促進整合及驗證券商客戶編碼及客戶識別信息，和將券商客戶編碼及客戶識別信息與投資者識別資料庫配對，並向相關中華通市場營運者、聯交所及相關聯交所附屬公司提供此等已整合、驗證及配對之券商客戶編碼及客戶識別信息；(ii) 使用本人（等）／本公司之券商客戶編碼及客戶識別信息履行其證券賬戶管理之監管職責；及(iii) 向擁有司法管轄權之內地監管機構及執法部門透露此等資料，以就內地金融市場而言，促進其履行監管、監控及執法職責；及 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 SEHK 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

- (d) 容許相關中華通市場營運者 (i) 收集、使用及儲存 本人 (等) / 本公司之券商客戶編碼及客戶識別信息，以促進透過使用中華通服務之相關中華通市場證券交易之監控及監管，以及執行相關中華通市場營運者之規則；及 (ii) 向內地監管機構及執法部門透露此等資料，以就內地金融市場而言，促進其履行監管、監控及執法職責。
- 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.

就 本人 (等) / 本公司向 貴行發出之任何中華通證券指示而言， 本人 (等) / 本公司確認及同意 貴行及由 貴行委託的第三方以遵守有關中華通北向交易不時生效之聯交所要求及其規則為目的使用 本人 (等) / 本公司之個人資料。

By instructing the Bank in respect of any transaction relating to China Connect Securities, I/we acknowledge and agree that the Bank and third parties appointed by the Bank may use my/our personal data for the purposes of complying with the requirements of the SEHK and its rules as in force from time to time in connection with the Stock Connect Northbound Trading.

本人 (等) / 本公司亦確認即使 本人 (等) / 本公司日後撤回同意， 本人 (等) / 本公司之個人資料可繼續儲存、使用、披露、轉移及作上述用途處理，無論在撤回同意前或後。

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.

未能提供個人資料或同意之結果

Consequences of failing to provide Personal Data or Consent

若 本人 (等) / 本公司未能向 貴行提供 本人 (等) / 本公司之個人資料或上述之同意， 貴行將不會或不再能 (視乎情況) 執行 本人 (等) / 本公司之交易指示或向 本人 (等) / 本公司提供中華通北向交易服務。

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

如中英文本有任何歧異，皆以英文本為準。

In case of any discrepancy between the English and Chinese versions, the English version prevails.