

關於在香港投資者識別碼制度及場外證券交易匯報制度下的個人資料收集聲明

閣下明白並同意，致富證券有限公司(「本公司」)為了向閣下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，本公司可收集、儲存、處理、使用、披露及轉移與閣下有關係的個人資料(包括閣下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：

- 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)；
- 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；
- 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；及
- 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閣下的客戶識別信息，及向發行人的股份過戶登記處轉移閣下的客戶識別信息，以便核實閣下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)處理及儲存閣下的客戶識別信息，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閣下的客戶識別信息，以便處理閣下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。

閣下亦同意，即使閣下其後宣稱撤回同意，本公司在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。閣下如未能向本公司提供個人資料或上述同意，可能意味著本公司不會或不能夠再(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。

備註：

- 「**券商客戶編碼**」指一個符合聯交所訂明的格式及由相關持牌人或註冊人按照聯交所的規定產生的唯一識別碼；「**客戶識別信息**」指與獲編配券商客戶編碼的客戶有關的以下資料：(i) 客戶的身分證明文件上所示的全名；(ii) 身分證明文件的簽發國家或司法管轄區；(iii) 身分證明文件類別；及(iv) 身分證明文件號碼。
- 客戶如未能向本公司提供上述同意或撤回同意，可能意味著本公司不會或不能夠再(視情況而定)執行客戶的交易指示或向客戶提供證券相關服務，惟出售、轉出或提取客戶現有的證券持倉(如有)除外。上述安排僅限聯交所上市證券，非聯交所上市證券之相關服務則不受影響。如有查詢，請致電客戶支援中心(852) 2500 9199。

確認及同意

本人/吾等確認已閱讀並理解致富證券有限公司之《關於在香港投資者識別碼制度及場外證券交易匯報制度下的個人資料收集聲明》內容。通過剔選以下之方格，本人/吾等表示同意致富證券有限公司可根據本聲明中的條款及目的而使用本人/吾等之個人資料：

- 本人/吾等同意致富證券有限公司將本人/吾等之個人資料用於本聲明所述之目的。
- 本人/吾等確認於現時已提供予致富的現有個人資料視為有效及保持不變。

*如閣下需要更改個人資料，請填妥並交回「更改賬戶資料表格」。

(請在方格內加“✓”號)

客戶簽署：_____

日期：_____

客戶姓名：_____

客戶編號：_____

For Office Use Only	Submitted by	Team / Branch	Remarks
Signature checked by	Input by	Checked by	
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**Personal Information Collection Statement under Hong Kong Investor Identification Regime (HKIDR)
and Over-the-counter Securities Transactions Reporting Regime (OTCR)**

You acknowledge and agree that Chief Securities Limited (the “Company”) 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 we 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).

Remarks:

- “BCAN” means a “Broker-to-Client Assigned Number”, being a unique identification code in the format prescribed by SEHK, generated by a relevant licensed or registered person in accordance with SEHK’s requirements. “CID” means the “Client Identification Data”, the following information in relation to a client to whom a BCAN is assigned: (i) the full name of the client as shown in the client’s identity document; (ii) the issuing country or jurisdiction of the identity document; (iii) the identity document type; and (iv) the identity document number.
- Failure to provide the Company with the consent or withdrawal of consent as described above may mean that the Company will not, or will no longer be able to, as the case may be, carry out the client’s trading instructions or provide the client with securities related services (other than to sell, transfer out or withdraw the client’s existing holdings of securities, if any). The abovementioned arrangement is limited to securities listed on SEHK, services for non-SEHK securities will not be affected. For enquiries, please contact Customer Support Centre at (852) 2500 9199.

Acknowledgement and Consent

I/We confirm that I/we have read and understood the content of “Personal Information Collection Statement under Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR)” issued by Chief Securities Limited. By ticking the box below, I/we signify my/our consent for the Company to use my/our personal data on the terms of and for the purposes set out in this statement.

I/We agree to the Company’s use my/our personal data for the purposes set out in this statement.

I/We confirm that the existing personal information furnished to Chief is deemed to be valid and unchanged.

*If you wish to amend any personal information, please complete and return the “Notification for Change Account Information Form”.

(Please tick “√” the above box)

Client Signature : _____ **Date** : _____

Client Name : _____ **Client Code** : _____

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