

中華通北向交易之個人資料收集聲明

Personal Data Collection Statement Concerning Northbound China Connect Transaction

處理有關[中華通北向交易]個人資料

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

您確認並同意元大證券(香港)有限公司(「元大證券(香港)」或「我們」)在向您提供[中華通北向交易服務]時，元大證券(香港)將被要求：

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

- (i) 以[每一個客戶均為獨特的券商客戶編碼(「BCAN」)]標記每一個您提交予中華證券通系統的交易指示；及
tag each of your orders submitted to the CSC with [a Broker-to-Client Assigned Number ("BCAN") that is unique to you]; and
- (ii) 向交易所提供您的指定 BCAN 以及交易所根據交易所規則可能不時要求的與您有關的身份資料(「客戶識別信息」或「CID」)。
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.

在不受此前就有關於處理與您的帳戶及我們向您提供服務相關的個人數據已向您提供的任何通知或我們已向您取得同意的限制下，您確認並同意元大證券(香港)可以收集、存儲、使用、披露及根據需要傳輸與您有關的個人數據，作為我們[中華通北向交易服務]的一部分，包括以下內容：

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:

- (a) 不時向交易所及聯交所相關附屬公司披露及轉交您的 BCAN 及 CID，包括在中華證券通系統輸入中華通買賣盤時標示您的 BCAN，並將進一步實時傳送至相關中華通市場營運者；
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;
- (b) 允許每一交易所及聯交所相關附屬公司：
(i) 收集，使用及儲存您的 BCAN，CID 及任何經相關中華通結算所提供的已整合、已驗證及已配對之 BCAN 及 CID 資料(而就儲存而言，任何其中之一或透過港交所)作為市場監督和監控之用以及執行交易所規則；
(ii) 不時為下文(c)及(d)段所載之目的將有關資料轉交予相關中華通市場營運者(不論直接或透過相關中華通結算所)；及
(iii) 向香港的有關監管機構和執法機構披露有關資料，以協助其履行其有關香港金融市場之法定職能；
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;

- (c) 允許相關中華通結算所：(i) 收集，使用及儲存您的 BCAN 及 CID，以促進對 BCAN 和 CID 之整合及驗證以及 BCAN 和 CID 與其投資者身份數據庫的配對，並提供此等已整合、已驗證及已配對之 BCAN 及 CID 資料予有關中華通市場營運者、交易所及聯交所相關附屬公司；(ii) 使用您的 BCAN 和 CID 以履行其證券賬戶管理的監管職能；及 (iii) 向有管轄權的內地監管機構及執法機構披露有關資料，以便其履行對內地金融市場的監管、監察及執法職能；及

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

- (d) 允許有關的中華通市場營運者：(i) 通過使用中華通服務及執行中華通市場營運者之相關規例收集、使用及儲存您的 BCAN 及 CID 以便監督及監控相關中華通市場上的證券交易；及 (ii) 向內地監管機構及執法機構披露有關資料，以便其履行對內地金融市場的監管、監察及執法職能。

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.

通過就與中華通證券有關的任何交易向我們發出指示，您確認並同意我們可能會使用您的個人資料，以遵守交易所之要求及不時有效之有關中華通北向交易之規則。您亦確認儘管您隨後表示撤回同意，但無論是在您撤回同意之前還是之後，您的個人資料仍可繼續被儲存、使用，披露，轉交及以其他方式處理以達到上述目的。

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.

未能提供個人資料或同意的後果

Consequences of failing to provide Personal Data or Consent

未能向我們提供您的上述個人資料或同意可能意味著我們不會或不能，視情況而定，執行您的交易指令或向您提供我們的[中華通北向交易服務]。

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].

本個人資料收集聲明的中文版本僅作參考用途。若中英文版本如存在任何差異，以英文版本為準。

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.

確認和同意

Acknowledgement and Consent

我確認我已閱讀並理解元大證券(香港)有限公司的【中華通北向交易之個人資料收集聲明】(“聲明”)的內容。通過勾選下面的方框，我表示我同意元大證券(香港)有限公司根據此聲明中的條款和所載之目的使用我個人資料。

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

我同意元大證券(香港)有限公司將我個人資料用於【中華通北向交易之個人資料收集聲明】所載的目的。

I agree to Yuanta Securities (Hong Kong) Limited's use of my personal data for the purposes set out in the Personal Information Collection Statement.

Client Signature(s) 客戶簽署	X 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

For official use only 僅供職員填寫			
Verified by	Approved by	Input by / Scanned by	Checked by
Date	Date	Date	Date

請將已填妥的表格完整正本(共三頁)親臨本公司或以郵寄遞交，香港金鐘夏慤道18號海富中心1座23樓。如欲查詢，請致電(852) 3555 7878 與客戶服務部聯絡。

Please submit your completed form in original (total 3 pages) in person by visiting our company or by mailing, 23/F, Tower 1, Admiralty Centre, 18 Harcourt Road, Admiralty, Hong Kong. For inquiries, please do not hesitate to contact us at (852) 3555 7878.

Note:

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