

北向交易投資者識別碼模式客戶同意書

證券及期貨事務監察委員會（證監會）就為中華通證券服務的滬股通及深股通交易，已於 2017 年 11 月 30 日公布投資者識別碼制度，將涉及香港聯交所及其附屬公司收集和使用個人資料，以及向內地交易所及中國證監會轉交有關資料。本人 / 吾等已仔細閱讀，完全理解並簽署同意如下：

中華通證券服務

客戶明白及同意，西證為客戶提供中華通證券交易服務時，西證須要：

- (a) 在提交每一客戶交易指令予中華通買賣盤訂單傳遞系統時，在交易指令中附加上客戶唯一的券商客戶編碼或（如客戶賬戶為聯名賬戶）客戶聯名賬戶獲分配的券商客戶編碼；及
- (b) 向交易所提供客戶唯一的券商客戶編碼及一切交易所按照其規則不時要求索取的關於客戶的身份識別資料。

不受限於西證就著因應客戶的賬戶或提供服務予客戶而處理客戶個人資料而給予客戶的通知或取得的客戶同意，客戶明白及同意，作為西證中華通證券交易服務的一部份，西證可以作出下述的收集、儲存、使用、披露及轉移客戶的個人資料的行為：

- (a) 不時向交易所及相關交易所附屬公司披露及轉移客戶的券商客戶編碼及客戶識別信息，包括在中華通買賣盤訂單傳遞系統輸入中華通證券交易指令時顯示客戶的券商客戶編碼，並實時轉傳至相關中華通證券交易營運者；
- (b) 容許交易所及各相關交易所附屬公司：(i) 收集、使用及儲存客戶的券商客戶編碼及客戶識別信息以及相關中華通結算所提供（以儲存而言，它們通過香港交易所進行）的合併、核實及配對的券商客戶編碼及客戶識別信息資料，以作市場監察及執行交易所規則用途；(ii) 基於下列(c)及(d)所述目的，不時（直接或通過相關中華通結算所）轉移該等資料予相關中華通證券交易營運者；及(iii) 披露該等資料予香港相關監管機構及執法機關，以配合其履行關於香港金融市場的法定職能；
- (c) 容許相關中華通結算所：(i) 收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以對券商客戶編碼及客戶識別信息作出合併及核實並與其投資者身份識別資料庫作出配對，及把合併、核實及配對的券商客戶編碼及客戶識別信息資料提供予相關中華通證券交易營運者、交易所及相關交易所附屬公司；(ii) 使用客戶的券商客戶編碼及客戶識別信息，以履行其證券賬戶管理的法定職能；及(iii) 披露該等資料予中國大陸相關監管機構及執法機關，以配合其履行關於中國大陸金融市場的監管、監察及執法職能；及
- (d) 容許相關中華通證券交易營運者：(i) 收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以監察通過使用中華通服務在相關中華通市場進行之證券交易，和執行相關中華通證券交易營運者之規則；及(ii) 披露該等資料予中國大陸相關監管機構及執法機關，以配合其履行關於中國大陸金融市場的監管、監察及執法職能。

當客戶指示西證進行任何中華通證券的交易時，客戶明白及同意，西證可以使用客戶的個人資料於遵守交易所的要求及其對中華通北向交易不時生效的規則。客戶也明白，即使未來客戶計劃撤消其同意，客戶的個人資料（不論客戶撤消客戶同意前或後）會繼續被儲存、使用、披露、轉移或以其他方式處理，以達至上述目的。

不能提供個人資料或同意的後果

客戶不能如上述向西證提供個人資料或同意，將可能導致西證（按情況）不會或不可繼續執行客戶的交易指示或向客戶提供中華通證券交易服務。

如客戶有任何查詢，請即聯絡閣下之經紀或客戶服務熱線(852) 2238-9238。

客戶簽署及公司印章(如適用)			
			
客戶姓名			
帳戶號碼		簽署日期	

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<u>Signed by AE/Staff:</u>	<u>Signature Verified and Data Input by CS Dept.:</u>	<u>Approved by Responsible Officer:</u>

CLIENT CONSENT ON THE NORTHBOUND INVESTOR ID MODEL

The Hong Kong Securities and Futures Commission announced the investor identification regime for Northbound trading under China Connect Service on 30 November 2017. It will entail the collection and use of personal data by the SEHK and its subsidiaries, as well as its transfer to the Mainland exchanges and the CSRC. I/We have carefully read, fully understood and hereby sign this consent as follows:

China Connect Service

The Client acknowledges and agrees that in providing Southwest's China Connect securities trading service to the Client, Southwest will be required to:

- tag each of the Client's orders submitted to the China Stock Connect System ("CSC") with a Broker-to-Client Assigned Number ("BCAN") that is unique to the Client or the BCAN that is assigned to the Client's joint account with Southwest, as appropriate; and
- provide to the Exchange the Client's assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to the Client as the Exchange may request from time to time under the Rules of the Exchange.

Without limitation to any notification Southwest has given the Client or consent Southwest has obtained from the Client in respect of the processing of the Client's personal data in connection with the Client's account and Southwest's services to the Client, the Client acknowledges and agrees that Southwest may collect, store, use, disclose and transfer personal data relating to the Client as required as part of Southwest's China Connect securities trading service, including as follows:

- to disclose and transfer the Client's BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating the 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;
- to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store the 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;
- to allow the relevant China Connect Clearing House to: (i) collect, use and store the 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 the 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
- to allow the relevant China Connect Market Operator to: (i) collect, use and store the 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.


By instructing Southwest in respect of any transaction relating to China Connect Securities, the Client acknowledges and agrees that Southwest may use the 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 acknowledges that despite any subsequent purported withdrawal of consent by the Client, the 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.

Consequences of failing to provide Personal Data or Consent

Failure to provide Southwest with the Client's personal data or consent as described above may mean that Southwest will not, or no longer be able, as the case may be, to carry out the Client's trading instructions or provide the Client with Southwest's China Connect securities trading service.

Should you have any queries, please feel free to contact your Account Executive or Customer Services Hotline (852) 2238-9238.

Client Signature & Company Chop (if applicable)

			
Client Name			
Account Number		Date	

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Signed by AE/Staff:	Signature Verified and Data Input by CS Dept.:	Approved by Responsible Officer: