

采纳客户信息同意书

阁下明白并同意，东兴证券（香港）有限公司为了向阁下提供与在香港联合交易所（联交所）上市或买卖的证券相关的服务，以及为了遵守不时生效的联交所与证券及期货事务监察委员会（证监会）的规则和规定，我们可收集、储存、处理、使用、披露及转移与阁下有关的个人资料（包括阁下的客户识别信息及券商客户编码）。在不限制以上的内容的前提下，当中包括：

- (a) 根据不时生效的联交所及证监会规则 and 规定，向联交所及 / 或证监会披露及转移阁下的个人资料（包括客户识别信息及券商客户编码）；
- (b) 允许联交所：(i) 收集、储存、处理及使用阁下的个人资料（包括客户识别信息及券商客户编码），以便监察和监管市场及执行《联交所规则》；(ii) 向香港相关监管机构和执法机构（包括但不限于证监会）披露及转移有关资料，以便他们就香港金融市场履行其法定职能；及 (iii) 为监察市场目的而使用有关数据进行分析；及
- (c) 允许证监会：(i) 收集、储存、处理及使用阁下的个人资料（包括客户识别信息及券商客户编码），以便其履行法定职能，包括对香港金融市场的监管、监察及执法职能；及 (ii) 根据适用法例或监管规定向香港相关监管机构和执法机构披露及转移有关资料。

阁下亦同意，即使阁下其后宣称撤回同意，我们在阁下宣称撤回同意后，仍可继续储存、处理、使用、披露或转移阁下的个人资料以作上述用途。

阁下如未能向我们提供个人资料或上述同意，可能意味着我们不会或不能够再（视情况而定）执行阁下的交易指示或向阁下提供证券相关服务，惟出售、转出或提取阁下现有的证券持仓（如有）除外。

备注：

1. 本同意书所述的“券商客户编码”及“客户识别信息”具有《证券及期货事务监察委员会 持牌人或注册人操守准则》第 5.6 段所界定的含义。
2. 阁下可参阅以下香港联合交易所以及香港证券及期货事务监察委员会网页链接以获取有关香港投资者标识符制度的详细信息：

https://www.hkex.com.hk/Services/Trading/Securities/Overview/Trading-Mechanism/HKIDR?sc_lang=zh-HK

<https://www.sfc.hk/TC/Rules-and-standards/Investor-Identification-and-OTC-securities-reporting>.

客户/获授权人士签署：_____

附上公司印章/公章（如适用）

客户/获授权人士姓名：_____（正楷）

账户号码：_____

日期：_____

Obtaining Client Consent for Investor Identification Regime

You acknowledge and agree that we, Dongxing Securities (Hong Kong) Company Limited, 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; and
- (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.

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).

Note:

1. The terms “BCAN” and “CID” 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.
2. Please click on the relevant links below from the Stock Exchange of Hong Kong and Securities and Futures Commission for details on investor identification regime:
https://www.hkex.com.hk/Services/Trading/Securities/Overview/Trading-Mechanism/HKIDR?sc_lang=zh-HK ;
<https://www.sfc.hk/TC/Rules-and-standards/Investor-Identification-and-OTC-securities-reporting>.

Account No.: _____

Client /Authorized Person's Name: _____

Client / Authorized Person Signature: _____

(With Company Chops if applicable)

Date: _____