

## 香港投资者识别码制度及场外证券交易汇报制度之个人资料收集

### Processing of Personal Data as part of the Hong Kong Investor Identification Regime (HKIDR), Over-the-Counter Securities Transactions Reporting Regime (OTCR)

閣下明白并同意，我们东海国际证券(香港)有限公司为了向閣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、披露及转移与閣下有关的个人资料（包括閣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——

You acknowledge and agree that we Donghai international Securities (Hong Kong) 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) 根据不时生效的联交所及证监会规则和规定，向联交所及 / 或证监会披露及转移閣下的个人资料（包括客户识别信息及券商客户编码）；  
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) 允许联交所：(i)收集、储存、处理及使用閣下的个人资料（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  
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) 允许证监会：(i)收集、储存、处理及使用閣下的个人资料（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。  
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.
- (d) 向香港中央结算有限公司（香港结算）提供券商客户编码以允许香港结算：(i)从联交所取得、处理及储存允许披露及转移给香港结算属于閣下的客户识别信息，及向发行人的股份过户登记处转移閣下的客户识别信息，以便核实閣下未就相关股份认购进行重复申请，以及便利首次公开招股抽签及首次公开招股结算程序；及(ii)处理及储存閣下的客户识别信息，及向发行人、发行人的股份过户登记处、证监会、联交所及其他公开招股的有关各方转移閣下的客户识别信息，以便处理閣下对有关股份认购的申请，或为载于公开招股发行人的招股章程的任何其他目的。  
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.

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

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.

閣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）执行閣下的交易指示或向閣下提供证券相关服务，惟出售、转出或提取閣下现有的证券持仓（如有）除外。

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).

备注：本条所述的“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。

Note: The terms “BCAN” and “CID” used in this clause 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

Client Signature (with company chop, if applicable)

客戶簽署 (公司蓋章, 如適用)

Client Name 客戶名稱: \_\_\_\_\_

Account Number 帳戶號碼: \_\_\_\_\_

Date日期: \_\_\_\_\_