

Personal Information Statement Concerning Northbound Trading of Shanghai-Hong Kong Stock Connect and Northbound Trading of Shenzhen-Hong Kong Stock Connect (“Stock Connect Northbound Trading”)

滬港通北向交易及深港通北向交易（「中華通北向交易」）個人資料收集聲明

Processing of Personal Data as part of the Stock Connect Northbound Trading 處理客戶資料作為中華通北向交易的一部份

When Valuable Capital Limited (“VCL”) provides Stock Connect Northbound Trading Service to you, VCL will be required to:

當華盛資本証券有限公司（「華盛証券」）向閣下提供中華通北向交易服務時，華盛証券按要求必須：

- (i) tag each of your orders submitted to the China Stock Connect System (“CSC”) with a Broker-to-Client Assigned Number (“BCAN”) that is unique to you; and
在閣下遞交至中華通市場系統的每一個買賣指令中，附加一個屬於閣下獨一無二的券商客戶編碼（「券商客戶編碼」）；及
- (ii) provide to The Stock Exchange of Hong Kong Limited (“SEHK”) your assigned BCAN and such identification information (“Client Identification Data” or “CID”) relating to you as SEHK may request from time to time under its rules.
向香港聯合交易所有限公司（「聯交所」）提供編派給閣下的券商客戶編碼及聯交所根據其規則不時要求提供屬於閣下的識別信息（「客戶識別信息」）。

Without limitation to any notification VCL has given you or consent from you in respect of the processing of your personal data in connection with your account and services to you, you acknowledge and agree that VCL may collect, store, use, disclose and transfer your personal data relating to you as required as part of VCL’s Stock Connect Northbound Trading Service, including as follows:

關於華盛証券處理閣下帳戶及提供服務予閣下時涉及的個人資料（不限於華盛証券給予閣下的通知或華盛証券從閣下收到的同意），作為華盛証券提供中華通北向交易服務的一部份，閣下確認及同意，華盛証券可按要求有可能收集、儲存、使用、披露及轉移相關閣下的個人資料，其中包括以下各項：

- (a) to disclose and transfer your BCAN and CID to the SEHK and the relevant SEHK Subsidiaries from time to time, including tagging 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;
不時向聯交所及相關聯交所附屬公司披露及轉移閣下的券商客戶編碼及客戶識別信息，包括在閣下遞交至中華通市場系統的中華通指令時，附加上閣下的券商客戶編碼，該等資料將進一步即時傳遞至相關中華通市場營運者；
- (b) to allow SEHK 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 Hong Kong Exchanges and Clearing Limited) for market surveillance, and monitoring purposes and enforcement of the Rules of SEHK; (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;

允許聯交所及相關聯交所附屬公司：(i) 收集、使用及儲存（就相關資料儲存而言，將由上述任何一間機構或香港交易及結算所有限公司進行）閣下的券商客戶編碼及客戶識別信息以及由相關中華通結算所提供的任何經整合、核實及配對的券商客戶編碼及客戶識別信息資料，以用作市場監控、監察以及執行聯交所規則的目的；(ii) 為下文(c)及(d)項所載之目的，不時轉移該等資料予相關中華通市場營運者（直接或透過相關中華通結算所）；及 (iii) 向香港的相關監管機構及執法機關披露該等資料，以協助履行相關機構在香港金融市場的法定職能；

- (c) 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, SEHK 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

允許相關中華通結算所：(i) 收集、使用及儲存閣下的券商客戶編碼及客戶識別信息，以便整合及核實券商客戶編碼及客戶識別信息，以及將券商客戶編碼及客戶識別信息與其投資者識別數據庫進行配對，並向相關中華通市場營運者、聯交所及相關聯交所附屬公司提供該等經整合、核實及配對券商客戶編碼及客戶識別信息資料；(ii) 使用閣下的券商客戶編碼及客戶識別信息，以履行其證券帳戶管理的規管職能；及 (iii) 向擁有司法管轄權的內地監管機構及執法機關披露該等資料，以協助相關機構履行對內地金融市場的規管、監察及執法職能；及

- (d) 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.

允許相關中華通市場營運者：(i) 收集、使用及儲存閣下的券商客戶編碼及客戶識別信息，以便通過使用中華通服務及執行相關中華通市場營運商規則，監察及監管相關中華通市場的證券交易；及(ii)向內地監管機構及執法機關披露該等資料，以協助相關機構履行對內地金融市場的規管、監察及執法職能。

By giving VCL any instruction relating to China Connect Securities, you acknowledge and agree that VCL may use your personal data for the purposes of complying with the requirements of the SEHK 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. 閣下確認及同意，就其向華盛證券發出關於中華通證券的任何交易指令時，即表示華盛證券可使用閣下的個人資料，以符合聯交所的規定及其關於北向中華通交易不時生效的規則的要求。閣下亦確認，即使閣下其後表示有意撤回閣下的同意，閣下的個人資料仍可能繼續被儲存、使用、披露、轉移及以其他方式處理以達到上述目的，不論是在表示有意撤回同意之前或之後。

If You Fail to Provide Personal Data or Consent **若閣下未能提供個人資料或表示同意**

Failure to provide us with your personal data or consent as described above may mean that VCL cannot provide you with Stock Connect Northbound Trading Service.

如閣下未能向華盛證券提供如上述的個人資料或表示同意，則華盛證券不可能向閣下提供中華通北向交易服務。

In case of discrepancy between the English version and Chinese version of the above, the English version shall prevail.

如上述中、英文版本有任何分歧，概以英文版本為準。

Acknowledgement and Consent **確認和同意**

I/We acknowledge that I/we have completely read and understood the content of “Personal Information Statement Concerning Northbound Trading of Shanghai-Hong Kong Stock Connect and Northbound Trading of Shenzhen-Hong Kong Stock Connect (“Stock Connect Northbound Trading”)” provided by VCL.

本人/吾等確認本人/吾等已閱讀並完全明白由華盛證券提供「滬港通北向交易及深港通北向交易（「中華通北向交易」）個人資料收集聲明」的內容。

By ticking the box below,

- I/we **agree** that Valuable Capital Limited can use my/our personal data for the purposes set out in Personal Information Statement Concerning Northbound Trading of Shanghai-Hong Kong Stock Connect and Northbound Trading of Shenzhen-Hong Kong Stock Connect (“Stock Connect Northbound Trading”).

本人/吾等**同意**華盛資本證券有限公司可將本人/吾等個人資料用於關於滬港通北向交易及深港通北向交易（「中華通北向交易」）個人資料收集聲明所載有的目的。

- I/We **DO NOT agree** that Valuable Capital Limited can use my/our personal data for the purposes set out in the Personal Information Collection Statement concerning Stock Connect Northbound Trading. Hence, I/we understand that Valuable Capital Limited cannot provide Stock Connect Northbound Trading Service to me/us.

本人/吾等**不同意**華盛資本證券有限公司可將本人/吾等個人資料用於關於滬港通北向交易及深港通北向交易（「中華通北向交易」）個人資料收集聲明所載有的



香港干諾道中 168-200 號信德中心招商局大廈 36 樓 3606 室
Room 3606, 36/F, China Merchants Tower, Shun Tak Centre,
168-200 Connaught Road Central, Hong Kong
電話 Tel : (852) 2508 4588
傳真 Fax : (852) 3105 0222
電郵 E-mail : cs_service@valuable.com.hk

目的。因此，本人/吾等明白華盛資本證券有限公司不可能向本人/吾等提供中華
通北向交易服務。

Client Signature

客戶簽署：

Client Name

客戶姓名：

Account Number

帳戶號碼：

Date

日期：