



**確認和同意**

**Acknowledgement and Consent**

本人／吾等在此確認 本人/吾等已閱讀並理解雅利多證券有限公司的中華通北向交易個人資料收集聲明的內容。通過勾選下面的方框，本人／吾等表示本人／吾等同意雅利多證券有限公司根據“個人資料收集聲明”中的條款和目的使用本人／吾等 的個人資料。 I/We hereby acknowledge I/We have read and understand the content of the Personal Information Collection Statement Concerning Northbound China Connect Orders of Aristo Securities Limited. By ticking the box below, I/We signify my/our consent for Aristo Securities Limited to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement Concerning Northbound China Connect Orders.

本人／吾等同意雅利多證券有限公司將本人／吾等之個人資料用於中華通北向交易個人資料收集聲明所載的目的。 I/We agree that Aristo Securities Limited use of my/our personal data for the purposes set out in the Personal Information Collection Statement Concerning Northbound China Connect Orders.

客戶簽署及公司印章(如適用)

Client Signature & Company Chop (if applicable) : \_\_\_\_\_

客戶名稱 Client Name : \_\_\_\_\_

戶口號碼 Account Number : \_\_\_\_\_

日期 Date : \_\_\_\_\_

**中華通北向交易個人資料收集聲明**

**Personal Information Collection Statement Concerning Northbound China Connect Orders**

**處理個人資料作為中華通北向的一部分**

**Processing of Personal Data as part of the Stock Connect Northbound Trading**

您／汝等確認並同意在向您／汝等提供中華通北向交易時，雅利多證券有限公司（“我們”）將被要求： You acknowledge and agree that in providing our Stock Connect Northbound Trading Service to you, Aristo Securities Limited will be required to:

- (i) 對提交到中華通交易系統的每一個客戶委託，增加一個獨一無二且專屬於客戶的券商客戶編碼(以下簡稱“BCAN”) (適用於客戶持有單一賬戶) 或分配給您／汝等的聯名賬戶 BCAN 碼(適用於客戶持有聯名賬戶)；及 tag each of your orders submitted to the China Stock Connect (“CSC”) with Broker-to-Client Assigned Number (“BCAN”) that is unique to you or your joint account with us, as appropriate (for you having a joint account); and
- (ii) 向香港交易所提供已經編配給客戶的 BCAN 及相關客戶識別信息(以下稱“客戶識別信息”或“CID”)，交易所可根據交易所規則而不時提出要求。 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.

處理您／汝等賬戶相關的個人資料以及向您／汝等提供服務時，在不限制雅利多證券有限公司已向您／汝等作出的通知，和已經取得的同意情況下，作為中華通北向交易服務的一部分，您／汝等知悉並同意雅利多證券有限公司可能會收集、儲存、使用、披露並轉交您／汝等的個人資料，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) 不時向聯交所及其子公司披露及轉交您的 BCAN 及 CID，包括在中華通交易系統輸入委託指令時標明您的 BCAN，並將進一步實時傳遞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) 允許聯交所及其相關子公司：(i) 收集、使用以及儲存您的 BCAN、CID 以及由相關中華通結算機構為市場監測監控目的和執行交易所規則而合併、驗證和配對的 BCAN 和 CID 信息(信息由中華通結算機構或聯交所保存)；(ii) 為符合下文(c) 及(d) 規定的目的，不時將有關資料(直接或通過相關中華通結算機構) 轉交給中華通市場營運者；和 (iii)



向香港的相關監管機構和執法機構披露有關資料，以協助履行其香港金融市場的法定職能； 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機構：(i) 收集、使用以及儲存您的 BCAN 和 CID，以促進 BCAN 和 CID 的合併、驗證以及 BCAN 和 CID 與投資者數據庫的配對，並將相應合併、驗證和配對的 BCAN 和 CID 信息提供給相關中華通市場運營者、聯交所及聯交所相關子公司；(ii) 使用您的 BCAN 和 CID 來履行其證券賬戶管理的監管職能；和 (iii) 向有管轄權的內地監管機構及執法機構披露有關資料，以促進履行其內地金融市場的監管、監察及執法職能； 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) 允許相關中華通市場運營者：(i) 收集、使用以及存儲您的 BCAN 和 CID，通過使用中華通服務及執行相關中華通市場營運商的規則，以便監察及監察有關中華通市場的證券交易；和 (ii) 向內地監管機構和執法機構披露有關資料，以促進履行其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.

通過向雅利多證券有限公司發出關於中華通證券交易的指示，您知悉並同意，為符合與中華通北向交易相關而不時更新的聯交所要求和規則，雅利多證券有限公司可以使用您的個人資料。您亦知悉，儘管您隨後聲稱撤回同意，但無論在您聲稱撤銷同意之前或之後，您的個人數據仍可繼續存儲、使用、披露、轉移以及其他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**

若您／汝等未能向我們提供您的個人資料或上述同意，根據情況我們將不會或不能執行，您／汝等的交易指令或向您提供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

如中、英文版本有任何分歧，一概以英文版本為準

**In case of discrepancy between the English version and Chinese version of this statement, the English Version shall prevail.**

\*\*\*\*\* 此部份由本公司填寫 For Office Use Only \*\*\*\*\*

製作 Prepared by	簽署查核 Checked by	批准 Approved by
日期 Date:	日期 Date:	日期 Date: