

(適用於個人或聯名帳戶 For Individual or Joint Account Client)

尊貴的客戶 Dear Valued Client,

遵守香港聯合交易所 (SEHK) 和證券及期貨事務監察委員會 (SFC) 的額外規則和要求客戶同意書
Client consent to comply with the additional rules of the Stock Exchange of Hong Kong (SEHK) and the Securities and Futures Commission (SFC)

關於收集、儲存、處理、使用、披露及移轉個人資料以提供有關在香港聯合交易所上市或買賣的證券以及為了遵守不時生效的聯交所與證監會的規則和規定的客戶同意書 **Client Consent on Collection, Storage, Use, Processing, Disclosure and Transfer of Personal Data for provision of services in relation to securities listed or traded on the Stock Exchange of Hong Kong and for complying with the rules and requirements of SEHK and SFC in effect from time to time**

除文義另有所指外，下列用詞和用語的含義應具有證券及期貨事務監察委員會持牌人或註冊人操守準則、香港聯合交易所有限公司規則、中央結算系統一般規則及／或中央結算系統運作程式規則賦予彼等之涵義。Unless the context otherwise requires, words and phrases in the below shall have the meanings assigned to them under the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission, The Rules of The Stock Exchange of Hong Kong Limited, General Rules of CCASS, and/or CCASS Operational Procedures.

閣下，為客戶及以下簽署人，明白並同意，我們[京華山一國際(香港)有限公司]為了向閣下提供與在香港聯合交易所（聯交所）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（證監會）的規則和規定，我們可收集、儲存、處理、使用、披露及轉移與閣下有關係的個人資料（包括閣下的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中包括—

You, the Client and the undersigned, acknowledge and agree that we, Core Pacific - Yamaichi International (H.K.) 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) 根據不時生效的聯交所及證監會規則和規定，向聯交所及／或證監會披露及轉移閣下的個人資料（包括客戶識別信息及券商客戶編碼）；(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) 允許聯交所：(i)收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii)向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii)為監察市場目的而使用有關資料進行分析；及 (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) 允許證監會：(i)收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及 (ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。(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.

(d) 向香港中央結算有限公司（香港結算）提供券商客戶編碼以允許香港結算：(i)從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於閣下的客戶識別信息，及向發行人的股份過戶登記處轉移閣下的客戶識別信息，以便核實閣下未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及(ii)處理及儲存閣下的客戶識別信息，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移閣下的客戶識別信息，以便處理閣下對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。(d) 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 3 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.

閣下同意如個人資料有任何更改，會盡快通知我們及提供有關證明文件（如適用）以作資料更新。You agree that if there is any change in your personal data, you will notify us as soon as possible and provide relevant supporting document (if applicable) for data update.

閣下亦同意，即使閣下其後宣稱撤回同意，我們在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。 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.

閣下如未能向我們提供個人資料或上述同意，可能意味著我們不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（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).

備註：本條文所述的“券商客戶編碼”及“客戶識別信息”具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第 5.6 段所界定的含義。

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.”

京華山一國際(香港)有限公司

Core Pacific - Yamaichi International (H.K.) Limited

請填妥及電郵表格副本到 info@cpy.com.hk, 傳真至 (852) 2918 0409, 或寄回表格至香港灣仔港灣道 26 號華潤大廈 11 樓 1101 室京華山一國際 (香港) 有限公司收 Please complete and email a copy of the form to info@cpy.com.hk, fax to (852) 2918 0409, or mail the form to Room 1101, 11/F, China Resources Building, 26 Harbour Road, Wanchai, Hong Kong. Attn to Core Pacific - Yamaichi International (H.K.) Limited

確認和同意 Acknowledgement and Consent

客戶編號 Client No. (頭 7 位數字 first 7 digits): _____

本人/吾等，為客戶及以下簽署人，確認本人/吾等已閱讀並理解上述內容。本人/吾等表示本人/吾等同意京華山一國際(香港)有限公司根據上述條款及目的收集、儲存、處理、使用、披露及轉移本人/吾等的個人資料。

I/We, the Client and the undersigned, acknowledge I/we have read and understand the above content. I/we signify my consent for Core Pacific - Yamaichi International (H.K.) Limited to collect, store, process, use, disclose and transfer my/our personal data on the terms of and for the purposes set out in the above.

第一帳戶持有人 Primary account holder		第二聯名帳戶持有人 (如適用) Secondary joint account holder (if applicable)	
客戶姓名 Client Name		客戶姓名 Client Name	
客戶簽署 Signature		客戶簽署 Signature	
簽署日期 Date		簽署日期 Date	

----- Internal Use -----

Collect By AE/CS		Signature		Date	
Signature verified by		Signature		Date	
Form input by		Signature		Date	
Checker		Signature		Date	

Form flow: Form collected by AE/CS (physical/scanned copy) -> AE/CS certify -> AOT verify signature -> AOT input to system -> Checker