

To: Fubon Bank (Hong Kong) Limited

致: 富邦銀行(香港)有限公司

Please complete this form, sign and return to any branch of the Bank in person or mail to Fubon Bank GPO Box 9878, Hong Kong.
 請填妥以下表格，簽署後親身交回本行各分行或寄回香港中環郵政總局郵政信箱 9878 號富邦銀行收。

香港/中華通北向交易 - 個人資料收集聲明

Personal Information Collection Statement concerning Hong Kong/ Northbound China Connect Orders

Customer Information 客戶資料	
Customer Name 客戶名稱	Account opening branch 開戶分行
ID Doc No. / Passport No. / 身份證明文件號碼 / 護照號碼	Telephone Number 聯絡電話 #
Customer Number 客戶號碼 / Securities Account Number 證券賬戶號碼	

Applicable to this Personal Information Collection Statements only, it will not be updated to your contact information in the Bank's record.
 只用於是次個人資料收集聲明聯絡之用，並不會用作更新您於本行紀錄內的聯絡資料。

Part 1 Processing of Personal Data as part of Hong Kong Securities Trading

第一部份 按香港證券交易規則處理客戶個人資料

- I/we acknowledge and agree that Fubon Bank (Hong Kong) Limited ("the Bank") and/or FB Securities (Hong Kong) Limited ("FB Securities") may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our Client Identification Data ("CID") and Broker-Client Assigned Number ("BCAN"))(s) as required for the Bank and/or FB Securities to provide services to me/us 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:
- 本人/我們確認並同意，富邦銀行（香港）有限公司（“本行”）及/或富銀證券（香港）有限公司（“富銀證券”）為了向本人/我們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，本行及/或富銀證券可收集、儲存、處理、使用、披露及轉移與本人/我們有關的個人資料（包括本人/我們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：
- (a) disclosing and transferring my/our 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;
 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本人/我們的個人資料（包括客戶識別信息及券商客戶編碼）；
- (b) allowing SEHK to: (i) collect, store, process and use my/our 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
 允許聯交所：(i)收集、儲存、處理及使用本人/我們的個人資料（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
- (c) allowing the SFC to: (i) collect, store, process and use my/our 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.
 允許證監會：(i)收集、儲存、處理及使用本人/我們的個人資料（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。

(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 my/our CID and transfer my/our CID to the issuer's share registrar to enable HKSCC and/ or the issuer's share registrar to verify that I/we have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store my/our CID and transfer my/our 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 my/our application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.

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本人/我們的客戶識別信息，及向發行人的股份過戶登記處轉移本人/我們的客戶識別信息，以便核實本人/我們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)處理及儲存本人/我們的客戶識別信息，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本人/我們的客戶識別信息，以便處理本人/我們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。

I/we also agree that despite any subsequent purported withdrawal of consent by me/us, my/our personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

本人/我們亦同意，即使本人/我們其後宣稱撤回同意，本行及/或富銀證券在本人/我們宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移本人/我們的個人資料以作上述用途。

Failure to provide the Bank and/or FB Securities with my/our personal data or consent as described above may mean that the Bank and/or FB Securities will not, or will no longer be able to, as the case may be, carry out my/our trading instructions or provide me/us with securities related services (other than to sell, transfer out or withdraw my/our existing holdings of securities, if any).

本人/我們如未能向本行及/或富銀證券提供個人資料或上述同意，可能意味著本行及/或富銀證券不會或不能夠再（視情況而定）執行本人/我們的交易指示或向本人/我們提供證券相關服務，惟出售、轉出或提取本人/我們現有的證券持倉（如有）除外。

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.

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。

- I/we withdraw the consent to provide the Bank and/or FB Securities with my/our personal data for the above purposes.
本人/我們撤回同意向本行及/或富銀證券提供個人資料作上述用途。

Part 2 Processing of Personal Data as part of Northbound China Connect

第二部份 按中華通北向交易規則處理客戶個人資料

- I/we acknowledge and agree that in providing Northbound China Connect Trading Services to me/us, the Bank and/or FB Securities will be required to:

本人/我們確認並同意，富邦及/或富銀證券在向本人/我們提供中華通北向交易服務時須：

(i) tag each of my/our orders submitted to the China Stock Connect ("CSC") with a BCAN that is unique to me/us or the BCAN that is assigned to my/our joint account with the Bank and/or FB Securities, as appropriate; and

將本人/我們向中華證券通（“中證通”）呈交的所有買賣盤加上本人/我們獨有的券商客戶編碼或本人/我們在本行及/或富銀證券開設的聯名賬戶（如適用）所獲編配的券商客戶編碼；及

(ii) provide to the Stock Exchange of Hong Kong Limited ("Exchange") my/our assigned BCAN and such identification information including but not limited to my/our Name, ID Issuing Country, ID Type, ID Number ("CID", relating to me/us and/or other information as the Exchange may request from time to time under the Rules of the Exchange.

向香港聯合交易所有限公司（“聯交所”）提供本人/我們獲編配的券商客戶編碼及聯交所根據聯交所規則可不時要求的識別資料，包括但不限於本人/我們的姓名、身份證明文件的簽發國家、身份證明文件的類別、身份證明文件的號碼（“客戶識別信息”）及/或其他資料。

Without limitation to any notification I/we have given the Bank and/or FB Securities or consent we have obtained from me/us in respect of the processing of my/our personal data in connection with my/our account and our services to me/us, I/we acknowledge and agree that the Bank and/or FB Securities may collect, store, use, disclose and transfer personal data relating to me/us as required as part of the Bank and/or FB Securities's Northbound China Connect Trading Services, including as follows:

不管本行及/或富銀證券是否已就處理有關本人/我們賬戶及本行及/或富銀證券向本人/我們提供服務的本人/我們個人資料給予本人/我們通知或取得本人/我們同意，本人/我們確認並同意，根據本行及/或富銀證券的中華通北向交易機制的規定，可收集、儲存、使用、披露及轉移有關本人/我們的個人資料，包括下述各項：

a) to disclose and transfer my/our BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating my/our 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;

不時向聯交所和相關聯交所附屬公司披露及轉移本人/我們的券商客戶編碼和客戶識別信息，包括在將中華通買賣盤輸入中證通時（將實時轉發到相關中華通市場營運者）指明本人/我們的券商客戶編碼；

b) to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store my/our 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;

容許聯交所和相關聯交所附屬公司 (i) 收集、使用及儲存本人/我們的券商客戶編碼、客戶識別信息和由相關中華通結算所提供（在儲存情況下，由任何一方或經港交所提供）任何經整合、核實及配對的券商客戶編碼和客戶識別信息的資料，以監控及監察市場及實施聯交所規則；(ii) 不時為下述(c)款和(d)款所述的目的將該資料轉移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) 向香港相關監管機構及執法機構披露該資料，以便有關機構對香港金融市場履行法定職能；

c) to allow the relevant China Connect Clearing House to: (i) collect, use and store my/our 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 my/our 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

容許相關中華通結算所 (i) 收集、使用及儲存本人/我們的券商客戶編碼和客戶識別信息，以便整合及核實券商客戶編碼和客戶識別信息，並將券商客戶編碼和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、聯交所和相關聯交所附屬公司提供經整合、核實及配對的券商客戶編碼和客戶識別信息的資料；(ii) 使用本人/我們的券商客戶編碼和客戶識別信息履行其證券賬戶管理監管職能；及 (iii) 將該資料披露予對中國結算擁有司法管轄權的中國內地監管機構和執法機構，以便有關機構對中國內地金融市場履行監控、監察及執法的職能；及

d) to allow the relevant China Connect Market Operator to: (i) collect, use and store my/our 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.

容許相關中華通市場營運者 (i) 收集、使用及儲存本人/我們的券商客戶編碼和客戶識別信息，透過使用中華通服務，以及執行相關中華通市場營運者規則，監察及監控在相關中華通市場進行的證券交易；及 (ii) 向中國內地監管機構和執法機構披露該資料，以便有關機構對中國內地金融市場履行監控、監察及執法的職能。

Consequences of failing to provide Personal Data or Consent

未能提供客戶個人資料或有關授權的後果

By instructing us in respect of any transaction relating to China Connect Securities, I/we acknowledge and agree that the Bank and/or FB Securities may use my/our 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 Northbound China Connect Trading Services. I/we also acknowledge that despite any subsequent purported withdrawal of consent by me/us, my/our 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.

本人/我們就中華通證券的任何交易給予本行及/或富銀證券指示，即表示確認並同意，本行及/或富銀證券取得該資料的任何人士，可為遵守不時有效的聯交所規定和聯交所規則的原故使用本人/我們就中華通北向交易機制提供的個人資料。本人/我們亦確認，儘管本人/我們隨後表示撤回同意，但是在表示該撤回同意的前後時間本人/我們的個人資料仍可為上述目的予以儲存、使用、披露及以其他方式處理。

Failure to provide the Bank and/or FB Securities with my/our personal data or consent as described above may mean that the Bank and/or FB Securities will not, or no longer be able, as the case may be, to carry out my/our trading instructions or provide me/us with Northbound China Connect Trading Services.

若本人/我們沒有按上述規定向本行及/或富銀證券提供個人資料或同意，即表示本行及/或富銀證券將不會或不再可（視屬何情況而定）執行本人/我們的買賣指示，或向本人/我們提供中華通北向交易服務。

Acknowledgement and Consent

確認及同意

I/we acknowledge I/we have read and understand the contents of the above Personal Information Collection Statement of the Bank and/or FB Securities. By ticking the box, I/we signify my/our consent for the Bank and/or FB Securities to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

本人/我們確認本人/我們已經閱讀並理解本行及/或富銀證券個人資料收集聲明的內容。通過剔選方格，本人/我們同意本行及/或富銀證券根據個人資料收集聲明中的條款和目的使用本人/我們的個人資料。

I/we agree to the Bank and/or FB Securities's use of my/our personal data for the purposes set out in the Personal Information Collection Statement.

本人/我們同意本行及/或富銀證券將本人/我們的個人資料用於個人資料收集聲明所載的目的。

I/we withdraw the consent to provide the Bank and/or FB Securities with my/our personal data for the above purposes.
 本人/我們撤回同意向本行及/或富銀證券提供個人資料作上述用途。

Points to note:

注意要點：

- All customers in a joint relationship will have to provide their consent in order for buy orders to proceed.
 如屬聯名賬戶，所有相關客戶均須提供同意，買盤才會獲執行。
- The required update of information will be effective in five working days after the completed form is received and accepted by the Bank.
 所需變更的資料將於本行收取並接納已填妥之表格五個工作天後生效。
- Should you have any queries, please call Securities Services Hotline at 2842 7575 during office hours.
 Office hours: 8:30 am to 5:30 pm from Monday to Friday (except Saturday, Sunday and Public Holidays).
 如有任何查詢，請於辦公時間內致電證券投資服務熱線 2842 7575。
 辦公時間：星期一至五上午 8 時 30 分至下午 5 時 30 分 (星期六、日及公眾假期除外)

Customer Signature

客戶簽署

Customer Signature

客戶簽署

S.V.

S.V.

Name

姓名 _____

Date

日期 _____

Name

姓名 _____

Date

日期 _____

For Bank Use Only 銀行專用

Input by:	Date:	Checked by:	Date:
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