



PERSONAL INFORMATION COLLECTION STATEMENT  
CONCERNING STOCK CONNECT NORTHBOUND TRADING

關於滬深港通北向交易的個人資料收集聲明

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

**處理個人資料作為滬深港通北向交易的一部份**

You acknowledge and agree that in providing Stock Connect Northbound Trading Service to you, BOCOM International Securities Limited (“we” or “BOCOM”) will be required to:

您確認及同意，交銀國際證券有限公司（下稱“**我司**”或“**交銀國際**”）為您提供滬深港通北向交易服務時，我司需要：

- (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 or the BCAN that is assigned to your joint account with us, as appropriate; and  
在提交每一個您的交易指令予滬股通路由系統（“CSC”）時，在交易指令中附加上您唯一的券商客戶編碼（“**券商客戶編碼**”）或（如您的賬戶為聯名賬戶）您聯名賬戶獲分配的券商客戶編碼；及
- (ii) provide to The Stock Exchange of Hong Kong Limited (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.

向香港聯合交易所有限公司（“交易所”）提供您的券商客戶編碼及一切交易所按照其規則不時要求索取的關於您的身份識別資料（“**識別信息**”）。

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 any personal data relating to you as required as part of our Stock Connect Northbound Trading Service, including as follows:

不受限於我司就著因應您的賬戶或提供服務予您而處理您的個人資料而給予您的通知或向您取得的同意，您確認及同意，作為我司滬深港通北向交易服務的一部份，我司可以作出下述的收集、儲存、使用、披露及轉移您的個人資料的行為：

- (a) to disclose and transfer your BCAN and CID to the Exchange and the relevant subsidiaries of the Exchange 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;  
不時向交易所及相關交易所附屬公司披露及轉移您的券商客戶編碼及識別信息，包括在 CSC 輸入中華通證券交易指令時顯示您的券商客戶編碼，並實時轉傳至相關中華通證券交易營運者；

- (b) to allow each of the Exchange and the relevant subsidiaries of the Exchange 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 (“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;

容許交易所及各相關交易所附屬公司：(i) 收集、使用及儲存您的券商客戶編碼及識別信息以及相關中華通結算所所提供（以儲存而言，它們通過香港交易及結算所有限公司（“**港交所**”）進行）的合併、核實及配對的券商客戶編碼及識別信息，以作市場監察及執行交易所規則用途；(ii) 基於下列(c)及(d)所述目的，不時（直接或通過相關中華通結算所）轉移該等資料予相關中華通證券交易營運者；及(iii) 披露該等資料予香港相關監管機構及執法機關，以配合其履行關於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, the Exchange and the relevant subsidiaries of the Exchange; (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

容許相關中華通結算所：(i)收集、使用及儲存您的券商客戶編碼及識別信息，以對券商客戶編碼及識別信息作出合併及核實並與其投資者身份識別資料庫作出配對，及把合併、核實及配對的券商客戶編碼及識別信息提供予相關中華通證券交易營運者、交易所及相關交易所附屬公司；(ii)使用您的券商客戶編碼及識別信息，以履行其證券賬戶管理的法定職能；及(iii)披露該等資料予中國大陸相關監管機構及執法機關，以配合其履行關於中國大陸金融市場的監管、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.

容許相關中華通證券交易營運者：(i)收集、使用及儲存您的券商客戶編碼及識別信息，以監察通過使用中華通服務在相關中華通市場進行之證券交易，和執行相關中華通證券交易營運者之規則；及(ii)披露該等資料予中國大陸相關監管機構及執法機關，以配合其履行關於中國大陸金融市場的監管、監察及執法職能。

#### Consequences of failing to provide personal data or consent

##### 未能提供個人資料或同意的後果

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 purpose 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.

當客戶指示我司進行任何中華通證券的交易時，您確認及同意，我司可以使用您的個人資料於遵守交易所的要求及其對滬深港通北向交易不時生效的規則。您也確認，即使未來您撤消同意，您的個人資料（不論在您撤消同意前或後）會繼續被儲存、使用、披露、轉移或以其他方式處理，以達至上述目的。

Failure to provide us with your personal data or consent as described above may mean that we will not, or no longer able, as the case may be, to carry out your trading instructions or provide you with our Stock Connect Northbound Trading Service.

您不能如上述向我司提供個人資料或同意，將可能導致我司（按情況）不會或不可繼續執行您的交易指示或向您提供滬深港通北向交易服務。

#### Acknowledgment and Consent

##### 確認和同意

I acknowledge I have read and understand the content of this statement issued by BOCOM. By ticking the box below, I signify my consent for BOCOM to use my personal data on the terms of and for the purposes set out in this statement.

我確認我已閱讀並理解由交銀國際所發布的這份聲明之內容。通過勾選下面的方框，我表示我同意交銀國際根據本聲明中的條款和目的使用我的個人資料。

I agree to BOCOM's use of my personal data for the purposes set out in this statement.

我同意交銀國際將本人的個人資料用於本聲明所述的目的。

Client Signature(s) 客戶簽署： \_\_\_\_\_

Name of client/客戶名稱： \_\_\_\_\_

Account No. 帳戶號碼： \_\_\_\_\_

Date 日期： \_\_\_\_\_