

PART A

甲部分

**INDIVIDUAL/JOINT/SOLE PROPRIETOR/PARTNERSHIP ACCOUNT –
NOTICE ON PERSONAL DATA COLLECTION**

**個人／聯名／獨資公司／合夥公司帳戶 –
個人資料收集告示**

This notice is given by BOCOM pursuant to applicable personal data privacy laws and regulations, including the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) (“PDPO”). This notice is intended to notify Client why personal data (including sensitive personal data) is collected, how it will be used and to whom data access requests are to be addressed.

本告示是交銀國際依照適用個人資料私隱法律及法規，包括香港法例第 486 章《個人資料（私隱）條例》（「私隱條例」）作出的。本告示旨在通知客戶收集客戶個人資料（包括敏感個人資料）的目的，允許使用範圍及客戶個人資料（包括敏感個人資料）披露的範圍。

1. MEANS AND PURPOSES OF COLLECTION

收集途徑及目的

BOCOM collects Client's personal data (including sensitive personal data) when Client interacts with BOCOM and use BOCOM's services and products; visits BOCOM's websites; and from other people and companies, including other members of BOCOM Group.

交銀國際收集客戶的個人資料（包括敏感個人資料）的途徑包括客戶與交銀國際互動及使用交銀國際的服務和產品；瀏覽交銀國際網站；及從其他人士及公司，包括交銀集團其他成員。

Personal data (including sensitive personal data) provided by Client to BOCOM will be used by BOCOM for the following purposes:-

客戶向交銀國際提供的任何個人資料（包括敏感個人資料）將被交銀國際作為下列用途：-

- (a) activities relating to processing of Client's application to open and maintain Client's account(s) (the “Account”) or for grant of credit or margin facilities to Client; operating, maintaining and/or providing facilities or services to Client, including but not limited to conducting credit checks through credit reference agencies both in the Hong Kong Special Administrative Region (“HKSAR”) and overseas and ensuring ongoing creditworthiness of Client; determining the amount of indebtedness owed by Client; designing financial services and related products for Client's use; enforcing Client's obligations; and/or processing of any matters related to Client including claims, legal proceedings, insurance, etc;

與處理客戶申請開設及維持客戶帳戶（“帳戶”）及申請信貸或保證金安排有關之事宜；營運、維持及/或提供信貸或保證金安排或服務，包括但不限於 透過本港及海外的信貸資料服務機構進行信貸調查和確保客戶維

持可靠信用；確定客戶所欠的負債款額；設計客戶使用的金融服務及有關產品；執行客戶所負義務；處理任何與客戶相關之事宜，包括申索、法律程序、保險等；

- (b) activities relating to purchasing, selling, investing, exchanging, acquiring, holding, disposing of and generally dealing in and with all kinds of securities or products (including funds) on behalf of Client and/or any related matters including investigations and enquiries from relevant regulators, executing brokers custodians, relevant service providers for the purpose of compliance with the relevant regulatory requirements;

代客戶購買、出售、投資、交換、獲得、持有、處置及一般作出各種與證券和產品（包括基金）之交易及/或與其有關之事宜，包括相關監管機構、執行經紀託管人、相關服務供應商為遵守相關監管要求而進行的調查和查詢；

- (c) maintenance of particulars and data in compliance with the PDPO and subsidiary legislation which are enacted and effective in HKSAR relating to securities business and transactions, the codes of the Securities and Futures Commission (“SFC”), the rules and regulations of The Stock Exchange of Hong Kong Limited (the “Exchange”) and Hong Kong Securities Clearing House (the “Clearing House”); compliance with anti-money laundering obligations of BOCOM, and provision or making disclosure of Client’s personal data (including sensitive personal data) as required by law or to SFC, the Exchange, the Clearing House or any other local or overseas governmental or regulatory authorities upon request whether such request is enforceable in law;

保存有關資料，以符合於私隱條例及本港制訂及生效之有關證券業務及交易的條例及附屬規例、證券及期貨事務監察委員會（「證監會」）的守則、香港聯合交易所有限公司（「聯交所」）及香港中央結算有限公司（「結算公司」）的規則及規例、遵守反洗錢的條例及義務；以及按法定要求提供或披露客戶個人資料（包括敏感個人資料）或就聯交所、證監會、結算公司或任何其他本港或海外政府機構或監管機構的要求而提供的客戶個人資料（包括敏感個人資料），無論該等要求是否在法律上可強制執行；

- (d) marketing products and services which may be of interest to Client;

向客戶推廣客戶可能有興趣的產品及服務；

- (e) data privacy safety review, investigation or complaint; and

資料隱私安全審查、調查或投訴；及

- (f) any other purpose to which Client may from time to time agree.

客戶不時同意的其他用途。

2. THE OBLIGATION TO PROVIDE PERSONAL DATA

提供個人資料的責任

- 2.1 It is obligatory for Client to supply the personal data (including sensitive personal data) as required by BOCOM to enable BOCOM to provide the required services to Client. If Client fails to supply the required personal data (including sensitive personal data), BOCOM may refuse to open or maintain the Account or establish or continue facilities or may refuse to provide relevant services to Client.

客戶有責任向交銀國際提供所需的個人資料（包括敏感個人資料）以使交銀國際能向客戶提供所需的服務。如客戶未有提供所需個人資料（包括敏感個人資料），交銀國際可拒絕為客戶開設或維持帳戶、開設或維持信貸或保證金安排或提供有關的服務。

2.2 It is also the case that Client's personal data (including sensitive personal data) is collected in the ordinary course of the continuation of the relationship; for example, when Client provides funding, applies for credit or when BOCOM obtains information from credit reference agencies.

在正常的業務關係過程中，例如，當客戶提供資金、申請貸款或交銀國際從信貸資料服務機構獲取資料時，亦會向客戶收集個人資料（包括敏感個人資料）。

2.3 Having regard to Client's obligations under the PDPO, when providing any personal data (including sensitive personal data) to BOCOM, Client should confirm that the personal data (including sensitive personal data) provided is accurate.

鑒於客戶在私隱條例下的責任，當向交銀國際提供個人資料（包括敏感個人資料）時，客戶須確認所提供的個人資料（包括敏感個人資料）為正確的資料。

3. CLASSES OF TRANSFEREES

接觸資料人士

3.1 BOCOM may, as it deems necessary, transfer or disclose to its agents or nominees, associates, individuals or corporations dealing with securities, futures and options clearing and the auditors of BOCOM Client's personal data (including sensitive personal data) to operate Client's account or to carry out the activities described in 1(b) above.

交銀國際如認為有需要，可向處理證券、期貨及期權結算的代理人或代名人、聯系人、個人或法團及交銀國際的核數師轉移或披露客戶的個人資料（包括敏感個人資料）以運作帳戶或進行上述 1(b) 所提及的事宜。

3.2 BOCOM may disclose Client's personal data (including sensitive personal data) as required by law or to SFC, the Exchange, the Clearing House or any other local or overseas governmental or regulatory authorities upon request whether such request is enforceable in law.

為符合法定的要求或應證監會、聯交所、結算公司或任何其他本港或海外政府機構或監管機構的要求，無論該等要求是否在法律上可強制執行，交銀國際可披露客戶的個人資料（包括敏感個人資料）。

3.3 BOCOM may also transfer or disclose Client's personal data (including sensitive personal data) to any members of BOCOM Group, its affiliates, agents, assignee, contractors, third party providers, custodians, information service providers, providers of execution facilities, providers of other financial products (including their respective delegates) (whether in Hong Kong or elsewhere), service providers or subcontractors, any financial institution or dealer with which the Client has or proposes to have dealings, any credit reference agency and in the event of default, any debt collection agency, any actual or proposed assignee of BOCOM or participant or sub-participant or transferee of BOCOM's rights in respect of Client, any person providing or proposing to provide guarantee or security for Client's obligations, and BOCOM will not be liable to you for any consequences arising out of such transfer or disclosure.

交銀國際亦可向任何交銀集團成員、其聯屬人、代理人、承讓人、承判商、第三方提供者、保管人、資料提供者、提供執行服務者、其他金融產品提供者(包括其委託人)(不論於香港或境外)、服務提供者或分判商、任何客戶現時或將來有可能產生交易的金融機構或交易商，在違反協議的情況下，任何追債公司，任何實際或擬交銀國際的承讓人或任何交銀國際將其對客戶權益轉讓、參與或次參與人士、任何對客戶的責任提供或擬提供擔保或抵押保證的人士轉移或披露客戶的個人資料（包括敏感個人資料），而交銀國際無需就此等轉移或披露所產生的後果對客戶承擔任何責任。

3.4 BOCOM may also disclose or transfer Client's personal data (including sensitive personal data) to law enforcement agencies for the purpose of prevention of money laundering or other crimes.

為防止洗黑錢或其他罪行，交銀國際亦可向執法機構提交或披露客戶個人資料（包括敏感個人資料）。

4. STORAGE AND RETENTION

存儲和保留

BOCOM may store the personal data (including sensitive personal data) provided by Client locally or overseas including in the cloud. Personal data (including sensitive personal data) provided by Client is retained for as long as the purposes and any directly-related purposes for which such data was collected continue. Once it is not necessary to use the personal data (including sensitive personal data) to fulfil such purposes (and directly-related purposes), it is then destroyed within a reasonable time unless its retention is required to satisfy legal, regulatory or accounting requirements.

交銀國際可將客戶的個人資料（包括敏感個人資料）儲存於本港或海外，包括雲端。交銀國際將按收集資料的相關目的所需的時間保留客戶的個人資料（包括敏感個人資料）。當已經沒有必要為相關目的使用客戶的個人資料（包括敏感個人資料）時，除非交銀國際為了符合法律、監管或會計上的要求而須予以保留外，該等個人資料（包括敏感個人資料）將會於合理時間內被銷毀。

5. ACCESS TO PERSONAL DATA

查閱個人資料

Client may request access to Client's personal data (including sensitive personal data) and may request BOCOM to correct any inaccurate personal data (including sensitive personal data). BOCOM shall be entitled to charge a reasonable fee for processing any data access request.

客戶可向交銀國際要求查閱及更改不正確的個人資料（包括敏感個人資料）。交銀國際有權向客戶收取合理費用以便處理有關要求。

6. ENQUIRIES

查詢

Enquiries concerning Client's personal data (including sensitive personal data) with BOCOM, including the request for access and corrections, or withdrawal of consent to process personal data, should be addressed to:- 如客戶對交銀國際收集的個人資料（包括敏感個人資料）有任何疑問，包括查閱及更改有關的個人資料（包括敏感個人資料），或撤回處理個人資料的同意，均可致函：-

BOCOM_HKBCAN_EC_Sec

Data Protection Officer

BOCOM International Securities Limited

9th Floor, Man Yee Building, 68 Des Voeux Road Central Hong Kong

Telephone: 2297 9888

Fax: 2851 9955 / 2851 9876

香港中環德輔道中 68 號

萬宜大廈 9 樓

交銀國際證券有限公司

資料保護主任收

電話號碼：2297 9888

傳真號碼：2851 9955 / 2851 9876

In this notice, all references to “personal data” refer to any personally identifying data, including names; email and postal addresses; telephone, fax and mobile numbers; gender, date of birth; income and education level; credit history and sensitive personal data. All references to “sensitive personal data” includes information relating to ethnicity, race, political beliefs, biometric identification, religious beliefs, healthcare, criminal records, specific identities, financial account, individual location tracking, etc. All references to “BOCOM” refer to BOCOM International Securities Limited and BOCOM International Asset Management Limited collectively or individually and all references to “BOCOM Group” refer to BOCOM together with its holding companies, subsidiary companies, associated companies and affiliated companies collectively or individually. All references to “Client” include prospective and existing clients, visitors to BOCOM’s website and individuals who participate in promotion, contest or game.

本告示中之“個人資料”指個人識別數據，包括姓名、電子郵件、郵政地址、電話、傳真和手機號碼、性別、出生日期、收入和教育水準、信用記錄及敏感個人資料等。“敏感個人資料”包括與種族、政治信仰、生物識別、宗教信仰、醫療健康、犯罪記錄、特定身份、金融賬戶、行蹤軌跡等相關的信息。“交銀國際”即共同或個別為交銀國際證券有限公司及交銀國際資產管理有限公司。“交銀集團”即共同或個別為交銀國際連同其控股公司、子公司、附屬公司及關聯公司。客戶包括未來及固有客戶、交銀國際網頁的訪客及參與促銷、比賽或遊戲的個別人士。

In case of discrepancies between the English and Chinese versions, the English version shall prevail.

倘若中文文本與英文文本出現歧義，一概以英文文本為準。

PART B

乙部分

PERSONAL INFORMATION COLLECTION STATEMENT CONCERNING TRADING OF SECURITIES LISTED ON THE STOCK EXCHANGE OF HONG KONG 有關買賣於香港聯合交易所上市證券的個人資料收集聲明

Processing of Personal Data as part of Trading in Securities Listed on the Stock Exchange of Hong Kong 處理個人資料作為香港聯合交易所上市證券交易的一部份

You acknowledge and agree that in providing 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, BOCOM International Securities Limited ("we" or "BOCOM"), will be required to:

您／您們明白並同意，交銀國際證券有限公司（下稱「我司」或「交銀國際」）為了向您／您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，我司需要：

- (i) tag each of your orders submitted to the SEHK 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
在您的每個提交予聯交所的交易指令中附加券商客戶編碼（「券商客戶編碼」），此是您唯一的券商客戶編碼或（如賬戶為聯名賬戶）您們聯名賬戶獲分配的券商客戶編碼，視情況而定；及
- (ii) provide to SEHK your assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to you as the SEHK may request from time to time under the Rules of the Exchange of SEHK.

向聯交所提供您／您們獲分配的券商客戶編碼及聯交所可能根據《聯交所規則》不時要求索取的關於您／您們的身份識別資料（「識別信息」）。

Notwithstanding any restriction, purpose or condition set out in any previous agreement or 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, process, use, disclose and transfer any personal data relating to you (including your CID and BCAN(s)) as part of our SEHK listed securities trading service, including but not limited to –

儘管此前我司對您／您們的帳戶或向您／您們提供服務時就處理您／您們的個人資料發出的任何通知或協議中列出了任何限制、目的或條件或已向您／您們取得了同意，您／您們確認及同意，作為我司提供聯交所上市證券交易服務的一部份，我司可以作出下述的收集、儲存、處理、使用、披露及轉移您／您們的個人資料（包括您／您們的客戶識別信息及券商客戶編碼）的行為，包括但不限於——

- (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;

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您／您們的個人資料（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 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;

允許聯交所：(i)收集、儲存、處理及使用您／您的個人資料（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；

- (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; and

允許證監會：(i)收集、儲存、處理及使用您／您的個人資料（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；及

- (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 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.

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您／您的客戶識別信息，及向發行人的股份過戶登記處轉移您／您的客戶識別信息，以便核實您／您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)處理及儲存您／您的客戶識別信息，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您／您的客戶識別信息，以便處理您／您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。

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 securities listed or traded on SEHK, you acknowledge and agree that we may use your personal data for the purpose of complying with the relevant rules and requirements of SEHK and the SFC in effect from time to time. 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, whether before or after such purported withdrawal of consent.

通過您／您們指示我司進行任何在聯交所上市或買賣的證券交易時，您／您們確認及同意，我司可以遵守不時生效的聯交所與證監會相關的規則和規定為目的，使用您／您們的個人資料。您／您們亦同意，即使您／您們其後宣稱撤回同意，您／您們的個人資料（不論在您／您們撤回同意前或後）仍可繼續被儲存、處理、使用、披露或轉移以作上述用途。

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).

您／您們如未能向我司提供個人資料或上述同意，可能意味著我司不會或不能夠再（視情況而定）執行您／您們的交易指示或向您／您們提供證券相關服務，惟出售、轉出或提取您／您們現有的證券持倉（如有）除外。

REPLY SLIP

回覆函

To: BOCOM International Securities Limited

致：交銀國際證券有限公司

Re: Consent and Confirmation 同意和確認

Part I 第一部	
<p>I/ We acknowledge I/we have read and fully understood the content of “Individual/Joint/Sole Proprietor/ Partnership Account – Notice on Personal Data Collection” and “Personal Information Collection Statement Concerning Trading of Securities Listed on the Stock Exchange of Hong Kong” issued by BOCOM (collectively the “Statement”) and this reply slip. By signing this reply slip, I/ we signify my/ our consent for BOCOM to collect, store, use, disclose and transfer my/our personal data (including sensitive personal data) on the terms of and for the purposes set out in the Statement. I/ we confirm that I/ we sign this reply slip of my own free will.</p> <p>我／我們確認我／我們已閱讀並完全理解由交銀國際所發布的「個人／聯名／獨資公司／合夥公司帳戶 - 個人資料收集告示」和「有關買賣於香港聯合交易所上市證券的個人資料收集聲明」（統稱「聲明」）以及此回覆函之內容。通過簽署此回覆函，我／我們表示我／我們同意交銀國際可根據聲明的條款和目的收集、存儲、使用、披露和轉移我／我們的個人資料（包括敏感個人資料）。我／我們確認我／我們自願簽署此回覆函。</p>	
Part II 第二部 This part is required to be completed. 此部必須填妥。 Please “✓” as appropriate. 請在適當位置加 “✓”。	
<p>I/ We hereby confirm that I/ we do not have any update of client identification data.</p> <p>我／我們謹此確認我／我們沒有客戶識別信息的更新。</p>	<p><input type="checkbox"/> Yes 是</p> <p><input type="checkbox"/> No 否*</p> <p><i>*Please complete and return the “Change of Account Information Form” along with relevant supporting document. 請填妥「更改戶口資料申請表」並連同相關證明文件一併交回。</i></p>

<p>Client Signature 客戶簽署</p> <p><i>For joint account, all account holders must sign here.</i></p> <p>如帳戶為聯名帳戶，所有聯名帳戶的持有人均須簽署。</p>	
<p>Name of Client 客戶名稱</p> <p><i>For joint account, all account holders’ names should be provided.</i></p> <p>如帳戶為聯名帳戶，須提供所有帳戶持有人的名稱。</p>	
<p>Account Number 賬戶號碼</p>	
<p>Date 日期</p>	

Please return the completed Reply Slip to us by 1) mail, 2) email at reply@bocomgroup.com or 3) fax at (852) 3426 9702.

請透過 1) 郵寄、2) 電郵至reply@bocomgroup.com或3) 傳真至(852) 3426 9702交回已填妥的回覆函。