



中信建投國際
CHINA SECURITIES INTERNATIONAL

致：中信建投（国际）证券有限公司

中信建投(國際)証券有限公司(香港證監會中央編號：BAU373)

18/F, Two Exchange Square, Central, Hong Kong 香港中環交易廣場二期 18 樓

寄信人：客户姓名/名称：_____

客户账号：_____

**中华通北向交易委托（投资者识别码模式）及个人资料收集声明
客户同意书**

处理个人资料是中华通北向交易的一部分

本人/吾等知悉及同意中信建投（国际）证券有限公司（统称“中信建投国际”）在通过中华通北向交易服务过程中，中信建投国际将被要求进行以下工作：

- (i) 对提交到中华通交易系统的每一个客户委托，增加一个独一无二且专属于客户的券商客户编码（以下简称“BCAN”）（适用于客户持有单一账户）/ 对提交到中华通交易系统的每一个客户委托，增加一个独一无二且专属于客户的券商客户编码（以下简称“BCAN”）或分配给客户的联名账户的BCAN码（适用于客户持有联名账户）；及
- (ii) 向香港交易所提供已经编配给客户的BCAN及相关客户识别信息（以下称“客户识别信息”或“CID”），交易所可根据交易所规则而不时提出要求。

在处理与您账户相关的个人数据以及向您提供服务时，在不限限制中信建投国际已经向您作出的通知和已经取得的您的同意情况下，作为中华通北向交易服务的一部分，您知悉并同意中信建投国际可能会收集、存储、使用、披露并传输您的个人数据，包括以下内容：

- (a) 不时向联交所及其子公司披露及传输您的BCAN及CID，包括向中华通交易系统输入委托指令时标明您的BCAN，并将进一步实时传递至相关中华通市场；
- (b) 允许联交所及其相关子公司：
 - (i) 收集、使用以及存储您的BCAN、CID以及由相关中华通结算机构为市场监测监控目的和执行交易所规则而合并、验证和配对的BCAN和CID信息（信息由中华通结算机构或联交所保存）；
 - (ii) 为符合下文（c）及（d）规定的目的，不时将有关资料（直接或通过

相关中华通结算机构)转移给中华通市场运营者;(iii)向香港的相关监管机构和执法机构披露有关资料,以促进其香港金融市场法定职能的履行;

- (c) 允许相关中华通结算机构: (i) 收集、使用以及储存您的BCAN和CID,以促进BCAN和CID的合并、验证以及BCAN和CID与投资者数据库的配对,并将相应合并、验证和配对的BCAN和CID信息提供给相关中华通市场运营者、联交所及联交所相关子公司; (ii) 使用您的BCAN和CID来履行其证券账户管理的监管职能; (iii) 向有管辖权的大陆监管机构及执法机构披露有关资料,以促进其内地金融市场的监管、监察及执法职能的履行;
- (d) 允许相关中华通市场运营者: (i) 收集、使用以及存储您的BCAN和CID,通过使用中华通服务及执行相关中华通市场营运商的规则,以促进其中华通市场的证券交易的监测监控; (iii) 向大陆监管机构和执法机构披露有关资料,促进履行其内地金融市场的监管、监察及执法职能的履行。

通过向中信建投国际发出关于中华通证券交易的指示,您知悉并同意,为符合与中华通北向交易相关而不时更新的联交所要求和规则,中信建投国际可以使用您的个人资料。您亦知悉,尽管您随后声称撤回同意,但无论在您声称撤销同意之前或之后,您的个人数据仍可继续存储、使用、披露、转移以及其他处理以达到上述目的。

未能提供客户同意书或个人资料所须承担的后果

未能向中信建投国际提供您的个人数据或作出上述同意,意味着根据具体情况中信建投国际将不会或不能执行您的交易指令或向您提供中华通北向交易服务。

确认及同意

本人/吾等确认本人/吾等已经阅读并理解中信建投国际个人资料收集声明的内容。通过勾选下面的方框,本人/吾等同意中信建投国际根据个人资料收集声明中的条款和目的使用我的个人资料。

☐ 本人/吾等同意中信建投国际将本人/吾等的个人资料用于个人资料收集声明所载的目的。

客户签署

日期

Type of BCAN client BCAN客户的类型	
	Type 1: Individual 个人
	Type 2: Joint 联名
	Type 3: Legal Entity-Funds 法律实体 – 基金
	Type 4: Legal Entity-Fund Managers and Others 法律实体 – 基金管理人及其他
	Type 5: Proprietary or Principal trading 自营或主事人交易

Client confirmation for CCEP or TTEP (Only for HKEx EP) 有关CCEP或TTEP的客户确认（仅适用于香港交易所参与人）	
Yes, CCEP number: 是, CCEP 编号:	Purpose 目的 <input type="checkbox"/> For contingency only 仅为应急情况使用。 <input type="checkbox"/> For other purpose (will not be accepted) 为其他目的（不被接受）。
Yes, TTEP number: 是, TTEP编号:	Purpose 目的 <input type="checkbox"/> For underlying clients. A BCAN range will be assigned. 为底层客户。将会被分配一段区间的BCAN编码。 <input type="checkbox"/> For proprietary trade. 为自营交易。 <input type="checkbox"/> For other purpose (will not be accepted) 为其他目的（不被接受）。
No 否	



中信建投國際
CHINA SECURITIES INTERNATIONAL

TO: China Securities (International) Brokerage Company Limited
中信建投(國際)証券有限公司(香港證監會中央編號: BAU373)
18/F, Two Exchange Square, Central, Hong Kong 香港中環交易廣場二期 18 樓

FROM: Client Full Name: _____
Account No.: _____

**Consent Letter on Northbound China Stock Connect Orders (Investor Identification Model)
and the Personal Information Collection Statement**

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

I/We acknowledge and agree that in providing China Securities (International) Brokerage Company Limited's ("CSIB") Stock Connect Northbound Trading Services to me/us, CSIB will be required to:

- (i) tag each of your orders submitted to the China Stock Connect ("CSC") with Broker-to-Client Assigned Number ("BCAN") that is unique to you (*for you having single account*)/ 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 the BCAN that is assigned to your joint account with CSIB, as appropriate (*for you having a joint account*); and
- (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.

Without limitation to any notification CSIB have given you or consent CSIB have obtained from you in respect of the processing of your personal data in connection with your account and CSIB's services to you, you acknowledge and agree that CSIB may collect, store, use, disclose and transfer personal data relating to you as required as part of CSIB's Stock Connect Northbound Trading Service, including as follows:

- (a) 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) 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) 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) 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.

By instructing CSIB in respect of any transaction relating to China Connect Securities, you acknowledge and agree that CSIB 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.

Consequences of failing to provide Personal Data or Consent

Failure to provide CSIB with your personal data or consent as described above may mean that CSIB will not, or no longer be able, as the case may be, to carry out your trading instructions or provide

you with CSIB's Stock Connect Northbound Trading Service.

Acknowledgement and Consent

I/We acknowledge I/We have read and understand the content of the above Personal Information Collection Statement of CSIB. By ticking the box below, I/We signify my/our consent for CSIB to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

☐ *I/We agree to CSIB's use of my/our personal data for the purposes set out in the Personal Information Collection Statement.*

Signed by: _____

Date:

<i>Type of BCAN client</i>	
	<i>Type 1: Individual</i>
	<i>Type 2: Joint</i>
	<i>Type 3: Legal Entity-Funds</i>
	<i>Type 4: Legal Entity-Fund Managers and Others</i>
	<i>Type 5: Proprietary or Principal trading</i>

Client confirmation for CCEP or TTEP(Only for HKEx EP)	
Yes, CCEP number:	Purpose <input type="checkbox"/> For contingency only <input type="checkbox"/> For other purpose (will not be accepted)
Yes, TTEP number:	Purpose <input type="checkbox"/> For underlying clients. A BCAN range will be assigned. <input type="checkbox"/> For proprietary trade. <input type="checkbox"/> For other purpose (will not be accepted)
No	