

Account Maintenance
15/F Standard Chartered Tower
388 Kwun Tong Road, Kwun Tong, Kowloon, Hong Kong
香港九龍觀塘觀塘道388號渣打中心15樓



Personal Information Collection Statement concerning China Connect Orders¹

有關中華通買賣盤¹的個人資料收集聲明

Processing of Personal Data as part of the China Connect Securities Services

中華通股票投資服務的個人資料處理

You acknowledge and agree that in Standard Chartered Bank (Hong Kong) Limited (the "Bank"), its service providers and its execution broker (collectively as "we" or "us") providing China Connect Securities Services ("Services") to you, we will be required to:

閣下確認和同意渣打銀行(香港)有限公司(「本行」)、其服務供應商及其交易經紀(統稱「我們」)為閣下提供中華通股票投資服務(「本服務」)，我們需要：

- (i) tag each of your orders submitted to the trading system with a Broker-to-Client Assigned Number ("BCAN") that is unique to you or the BCAN that is assigned to your joint account with the Bank, as appropriate; and

為閣下每個提交予交易系統的指令附加一個專為閣下而設的**券商客戶編碼**或本行為閣下聯名帳戶所分配的**券商客戶編碼**(如適用)；及

- (ii) provide to the Stock Exchange of Hong Kong ("SEHK") your assigned BCAN and such identification information of you ("Client Identification Data" or "CID"), including your name in English and Chinese (if applicable and available), Identity Document ("ID") issuing country / region, ID type and ID number relating to you, as SEHK may request from time to time under the Rules of the Exchange.

向香港聯合交易所(「香港聯交所」)提供閣下獲分配的**券商客戶編碼**及閣下的**身份資料**(「**客戶身份資料**」)，包括閣下的**中英文姓名**(如適用及如有)、**簽發身份文件的國家/地區**、**身份文件種類**及閣下的**身份文件號碼**，因為香港聯交所可能不時根據交易所規則提出要求。

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 personal data relating to you as required as part of our Services, including as follows:

在不受我們就閣下帳戶或所提供服務的個人資料處理情況而向閣下發出的通知或從閣下取得的同意之限制下，閣下確認及同意我們可以根據服務的要求收集、儲存、使用、披露及轉移閣下的個人資料，包括以下：

- (a) to disclose and transfer your BCAN and CID to the Exchange and the relevant SEHK Subsidiaries⁴ from time to time, including by indicating your BCAN when inputting a China Connect Order into the trading system, which will be further routed to the relevant China Connect Market Operator² on a real-time basis;

不時向**交易所和相關的香港聯交所附屬公司**⁴披露及轉移閣下的**券商客戶編碼**和**客戶身份資料**，包括在向交易系統輸入中華通買賣盤時顯示閣下的**券商客戶編碼**，而該系統將實時進一步轉往相關的**中華通市場營運者**²；

- (b) to allow each of SEHK and the relevant SEHK Subsidiaries⁴ 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 House³ (in the case of storage, by any of them or via Hong Kong Exchanges and Clearing Limited) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Connect Market Operator² (directly or through the relevant China Connect Clearing House³) 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**香港聯交所及相關的香港聯交所附屬公司**⁴：(i) 收集、儲存及使用閣下的**券商客戶編碼**、**客戶身份資料**和任何相關的**中華通結算所**³提供的**整合、核實及配對之券商客戶編碼及客戶身份資料**(在儲存的情況下，則由任何一方或經由香港交易及結算所有限公司)，以作市場監督及監察和執行交易所規則之用；(ii) 基於以下(c)項及(d)項所列之用途，不時向相關的**中華通市場營運者**²轉移該等資料(直接或透過相關的**中華通結算所**³)；及(iii) 向香港的相關監管部門和執法機構披露該等資料，以便當局履行與香港金融市場有關的法定職能；

- (c) to allow the relevant China Connect Clearing House³ 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 Operator², the SEHK and the relevant SEHK Subsidiary⁴; (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

容許相關的**中華通結算所**³：(i) 收集、儲存及使用閣下的**券商客戶編碼**和**客戶身份資料**，以便**整合和核實**券商客戶編碼及客戶身份資料，以及根據其投資者身份數據庫配對**券商客戶編碼**和**客戶身份資料**，並向相關的**中華通市場營運者**²、**香港聯交所**及相關的**香港聯交所附屬公司**⁴提供該等**整合、核實和配對的券商客戶編碼及客戶身份資料**；(ii) 使用閣下的**券商客戶編碼**及**客戶身份資料**，以履行證券帳戶管理的監管職能；及(iii) 向就該等資料擁有司法管轄權的內地監管部門和執法機構披露相關資料，以便當局履行與內地金融市場有關的監管、監督和執法職能；及

- (d) to allow the relevant China Connect Market Operator² 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 Services and enforcement of the rules of the relevant China Connect Market Operator²; 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.

容許相關的**中華通市場營運者**²：(i) 收集、使用及儲存閣下的**券商客戶編碼**和**客戶身份資料**，以監督及監察透過使用本服務於相關中華通市場進行的證券交易，以及執行相關中華通市場營運者²的規則；及(ii) 向內地監管部門和執法機構披露相關資料，以便當局履行與內地金融市場有關的監管、監督和執法職能。

By instructing the Bank in respect of any transaction relating to China Connect Order¹, you acknowledge and agree that we may use your personal data for the purposes of complying with the requirements of SEHK and its rules as in force from time to time in connection with the Services. 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 in connection with the Services, whether before or after such purported withdrawal of consent.

當閣下向本行發出與中華通買賣盤¹有關的交易指示，即代表閣下確認及同意我們可以使用閣下的個人資料，以遵守香港聯交所的要求及其不時生效、與本服務相關的規則。另外，閣下亦確認即使日後聲稱撤銷同意聲明，閣下的個人資料可能繼續被儲存、使用、披露、轉移及以其他方式處理，以作上述與本服務相關的用途，不論在閣下撤銷同意聲明之前或之後。

Consequences of failing to provide Personal Data or Consent

未能提供個人資料或同意聲明的後果

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

閣下如未能如上述向本行提供個人資料或同意聲明，本行將不能或無法繼續（視乎情況而定）執行閣下的交易指示或向閣下提供我們的服務。

This authorization and consent of the use and transfer of personal data is in addition to the Notice to customers and other individuals relating to the Personal Data (Privacy) Ordinance (“Ordinance”) and the Code of Practice on Consumer Credit Data (“Notice”) you received previously. You can refer to the Notice in more detail on the Bank’s website if you wish to read before giving the above prescribed consent.

本使用及轉移個人資料之授權書和同意書為閣下早前獲發之客戶和其他人士《個人資料（私隱）條例》（「條例」）及《個人信貸資料實務守則》之通知書（「通知書」）以外的附加文件。閣下如欲在作出上述同意聲明前細閱通知書，請參閱本行網頁內之通知書全文。

The person to whom requests for access to or correction of data held by the Bank, or for information regarding the Bank’s data policies and practices and kinds of data held by the Bank is:

“Data Protection Officer
Standard Bank (Hong Kong) Limited
GPD Box 21, Hong Kong”

任何關於查閱或更正本行所持資料，或索取關於本行資料政策及慣例或所持資料類別的要求，請向下列人士提出：

「香港郵政信箱 21 號
渣打銀行（香港）有限公司
資料保障主任」

Acknowledgement and Consent 確認及同意書

I acknowledge I have read and understand the content of this Personal Information Collection Statement. By ticking the box below, I signify my consent for the Bank and its service providers (including its execution broker) to use my personal data on the terms of and for the purposes set out in this Personal Information Collection Statement.

本人確認已經閱讀及了解本個人資料收集聲明的內容。勾選以下方格後，即代表本人同意本行及其服務供應商（包括其交易經紀）根據本個人資料收集聲明所列之條款及目的使用本人之個人資料。

I agree to the use of my personal data by the Bank and its service providers (including its execution broker) for the purposes set out in this Personal Information Collection Statement.

本人同意本行及其服務供應商（包括其交易經紀）根據本個人資料收集聲明所列之目的使用本人之個人資料。

Primary Account Holder's Name (English) 戶口持有人姓名(英文)	Primary Account Holder's Signature 戶口持有人簽署	Date 日期
HKID / Passport No. 香港身份證/護照號碼		
Joint Account Holder's Name (English) (if any) 聯名戶口持有人姓名(英文)(如適用)	Joint Account Holder's Signature 聯名戶口持有人簽署(如適用)	Date 日期
HKID / Passport No. 香港身份證/護照號碼		

¹ China Connect Orders mean an order input into the China Stock Connect via a China 2 Connect Open Gateway or via a China Connect Central Gateway session of a China Connect Exchange Participant for routing to a China Connect Market System to buy or sell China Connect Securities (including an order to sell Special China Connect Securities), and the terms “China Connect buy order” and “China Connect sell order” shall be construed accordingly.

中華通買賣盤是指透過中華通開放式網關輸入至China Stock Connect的指令，或是透過中華通交易所參與者的中華通中央交易網關輸入的指令，以便傳遞至中華通市場系統進行中華通證券的買賣（包括中華通特別證券的賣盤指令），而「中華通買盤」及「中華通賣盤」應據以解釋。

² China Connect Market Operators refers to any institutes operating in China Connect Market System for trading of China Connect Securities under China Connect, including but not limited to Shanghai Stock Exchange and Shenzhen Stock Exchange.

中華通市場營運者是指任何在中華通市場系統營運，並於中華通安排下進行中華通證券交易的機構，包括但不限於上海證券交易所和深圳證券交易所。

³ China Connect Clearing House means a clearing house in Mainland China acceptable to Hong Kong Securities Clearing Company (“HKSCC”) and included in the list of China Connect Clearing Houses from time to time, as referred to in Rule 4105(b) under Central Clearing and Settlement System (“CCASS”) General Rules.

中華通結算是指獲香港中央結算有限公司（「香港結算」）接納，並不時包括在中華通結算所名單的中國內地結算所，正如中央結算及交收系統（「中央結算系統」）一般規則第4105(b)條所述。

⁴ SEHK Subsidiaries means a wholly-owned subsidiary of SEHK duly authorised as an automated trading service provider under the Securities and Futures Ordinance and licensed under applicable laws in Mainland China to provide order-routing service under China Connect.

香港聯交所附屬公司是指香港聯交所全資擁有的附屬公司，並根據《證券及期貨條例》獲正式授權成為自動化交易服務提供者，且按照中國內地適用法例註冊為中華通提供買賣盤傳遞服務。

For Bank Use Only 銀行專用

I, _____ a staff member of Standard Chartered Bank (Hong Kong) Limited, declare that I have invited the abovementioned applicant(s) to read the above the content of this Personal Information Collection Statement.

Branch code	Signature Verified / TIN Verified	Signature Verified	Input by	Input Verified by
	Signing No. ()			