

關於中華通北向交易指示的個人信息收集聲明
Personal Information Collection Statement concerning Northbound China Connect Orders

Processing of Personal Data as part of the Stock Connect Northbound Trading
處理個人資料作為滬港通北向交易的一部分

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

閣下知悉及同意在帝國國際証券有限公司（「帝國國際証券」）向閣下提供滬港通北向交易服務時，帝國國際証券將被要求：

- (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 IISL, as appropriate; and
須對閣下每一個提交到中華通交易系統的交易指示附加一個券商客戶編碼（券商客戶編碼），而該等券商客戶編碼是唯一的並編配予每一位客戶或每一位聯名證券帳戶（如適用）；及
- (ii) provide to the Stock Exchange of Hong Kong Limited (“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.
向香港聯合交易所有限公司（「聯交所」）提供已經編配給閣下的券商客戶編碼及相關客戶識別信息（「客戶識別信息」），聯交所可根據〈交易所規則〉而不時提出要求。

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 Stock Connect Northbound Trading Service, including as follows:

在不局限帝國國際証券就處理與閣下帳戶及向閣下提供服務收集到的個人資料所發出的任何通知或從閣下已取得的任何同意書之內容的原則下，閣下確認及同意帝國國際証券作為提供滬港通北向交易服務的一部分，可以收集、儲存、使用、披露和轉移閣下個人資料，包括以下內容：

- (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;
不時向聯交所及聯交所子公司披露和轉移閣下的券商客戶編碼及客戶識別信息，包括在中華通交易系統輸入交易指示時標明閣下的券商客戶編碼，並進一步實時發送到相關中華通市場營運者；
- (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 Hong Kong Exchange 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;
同意各交易所及聯交所子公司：(i) 收集、使用及儲存閣下的券商客戶編碼、客戶識別信息及由相關中華通結算機構為市場監測監控目的和執行交易所規則而合併、驗證及配對後的券商客戶編碼與客戶識別信息（信息由相關中華通結算機構或香港交易及結算所有限公司保存）；(ii) 為符合下文(c)及(d)規定的目的，不時將有關資料（直接或透過相關中華通結算機構）轉移給中華通市場營運者；(iii) 向在香港的相關監管機構及執法機構披露有關資料，以促進其香港金融市場法定職能的履行；
- (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
同意相關中華通結算機構(i) 收集、使用及儲存閣下的券商客戶編碼及客戶識別信息，以便券商客戶編

碼與客戶識別信息的合併、驗證以及將此等信息與其本身的投資者身份數據庫進行配對，並將此等經合併、驗證及配對的券商客戶編碼與客戶識別信息提供給相關中華通市場營運者、聯交所和聯交所子公司；(ii) 使用閣下的券商客戶編碼與客戶識別信息來協助其履行證券帳戶管理的監管職能；及(iii) 向有管轄權的中國內地監管機構及執法機構披露有關資料，以助其內地金融市場的監控、監察及執法職能的履行；

- (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.

同意相關中華通市場營運者(i) 收集、使用及儲存閣下的券商客戶編碼及客戶識別信息，通過使用中華通服務及執行相關中華通市場營運者的規則，以助其中華通市場的監測監控；及(ii) 向內地的監管機構及執法機構披露有關資料，以助其內地金融市場的監管、監察及執法職能的履行；

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 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.

如閣下向帝國國際証券發出關於中華通證券交易指示，即表示閣下確認並同意，為符合滬港通北向交易相關而不時更新的聯交所要求及規則，帝國國際証券可以使用閣下的個人資料。閣下也知悉，儘管閣下隨後可表示撤回同意，但閣下的個人資料可繼續被儲存、使用、披露、轉移及以其他方式處理，以用於上述目的，無論是在此撤回同意之前或之後。

Consequences of failing to provide Personal Data or Consent 客戶未能提供個人資料或客戶同意書的後果

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

如閣下未能向帝國國際証券提供上述個人資料或作出上述同意，即帝國國際証券將不能或不能再執行閣下的交易指示（視情況而定）或向閣下提供滬港通北向交易服務。

Acknowledgement and Consent 確認和同意:

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

本人/吾等確認本人/吾等已經閱讀並了解帝國國際証券的『個人資料收集聲明』的內容。通過勾選下面的方框，本人/吾等同意帝國國際証券將本人/吾等之個人資料用於『個人資料收集聲明』條文所載的目的。

- I/We agree to IISL’s use of my/our personal data for the purposes set out in the “Personal Information Collection Statement”**

本人/吾等同意帝國國際証券將本人/吾等之個人資料用於『個人資料收集聲明』內所載的目的。

客戶簽署:
Client Signature: _____

客戶名稱:
Client name: _____

帳戶號碼:
Account no.: _____

日期:
Date: _____