

關於收集、儲存、使用、披露及移轉個人資料以提供有關香港證券之交易及結算服務的客戶同意書
Client Consent on Collection, Storage, Use, Disclosure and Transfer of Personal Data for Provision of Trading and Settlement services in relation to Hong Kong Securities Services

除文義另有所指外，下列用詞和用語的含義應具有香港聯合交易所有限公司規則、中央結算系統一般規則及/或中央結算系統運作程式規則賦予彼等之涵義。

Unless the context otherwise requires, words and phrases in the below shall have the meanings assigned to them under the Rules of The Stock Exchange of Hong Kong Limited, General Rules of CCASS, and/or CCASS Operational Procedures.

對於本條文有關香港證券，本條文所述的“券商客戶編碼”及“客戶識別信息”具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》所界定的含義。

Note: For the clauses in respect of Hong Kong Securities, the terms “BCAN” and “CID” used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

在香港證券有關服務及交易方面

In relation to Hong Kong Securities services and transactions,

- (a) 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本人/吾等的個人資料（包括客戶識別信息及券商客戶編碼）；
disclosing and transferring my/our 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;
- (b) 允許聯交所：(i)收集、儲存、處理及使用本人/吾等的個人資料（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；及
allowing SEHK to: (i) collect, store, process and use my/our 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; and
- (c) 允許證監會：(i)收集、儲存、處理及使用本人/吾等的個人資料（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。
allowing the SFC to: (i) collect, store, process and use my/our 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. I/We also agree that despite any subsequent purported withdrawal of consent by SCSIB, my/our personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent. Failure to provide SCSIB with my/our personal data or consent as described above may mean that SCSIB will not, or will no longer be able to, as the case may be, carry out my/our trading instructions or provide me/us with securities related services (other than to sell, transfer out or withdraw my/our existing holdings of securities, if any).

通過向東吳國際經紀就與香港證券有關的任何交易發出指示，本人/吾等確認並同意東吳國際經紀可就其提供有關結算服務與及香港證券有關服務而言，以使用本人/吾等的個人資料以遵守不時有效的聯交所及證監會的規則及其規定。本人/吾等亦確認，儘管本人/吾等後來聲稱撤回同意，本人/吾等的個人資料仍可繼續存放、使用、披露、移轉及以其他方式處理以達到上述目的，不論是在此等聲稱撤回同意之前還是之後。

By instructing SCSIB in respect of any transaction relating to Hong Kong Securities, I/we acknowledge and agree that SCSIB may use my/our personal data for the purposes of complying with the requirements of the Exchange and SFC and its rules as in force from time to time in connection with SCSIB's provision of trading and settlement services in relation to SCSIB's provision of services in relation to Hong Kong Securities. I/We also acknowledge that despite any subsequent purported withdrawal of consent by me/us, my/our 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.

未能提供個人資料或同意的後果

Consequences of failing to provide Personal Data or Consent

本人/吾等如未能向東吳國際經紀提供個人資料或上述同意，可能意味著東吳國際經紀不會或不能夠再（視情況而定）執行本人/吾等的交易指示或向本人/吾等提供證券相關服務，惟出售、轉出或提取本人/吾等現有的證券持倉（如有）除外。

Failure to provide SCSIB with my/our personal data or consent as described above may mean that SCSIB will not, or will no longer be able to, as the case may be, carry out my/our trading instructions or provide me/us with securities related services (other than to sell, transfer out or withdraw my/our existing holdings of securities, if any).

客戶確認和同意

Acknowledgement and Consent

本人/吾等，為以下簽署人，確認本人 吾等已閱讀並理解上述內容。通過勾選下面的方框，本人 吾等表示本人 吾等同意 東吳證券國際經紀有限公司 根據上述條款及目的使用本人吾等的個人資料。

I/We, the undersigned, acknowledge I/we have read and understand the above content. By ticking the box below, I/we signify my/our consent for Soochow Securities International Brokerage Limited to use my/our personal data on the terms of and for the purposes set out in the above.

- 本人 吾等同意 東吳證券國際經紀有限公司 根據上述條款及目的使用本人 吾等的個人資料。
I/We agree to Soochow Securities International Brokerage Limited to use of my/our personal data on the terms of and for the purposes set out in the above.

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客戶簽署 Client signature(s)

日期 Date

客戶姓名 Client Name: _____

賬戶號碼 Account No.: _____

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