



## 滬深港通北向交易之個人資料收集聲明

### 處理滬深港通北向交易之個人資料

您承認並同意，在向您提供滬深港通北向交易服務時，我們南華證券有限公司將被要求：

- (i) 將您提交給CSC的每份訂單都適當標記獨特的經紀商對客戶指定號碼（“BCAN”）或將您的客戶聯名賬戶標記BCAN;和
- (ii) 向交易所提供您被指定的BCAN以及因應交易所根據交易所規則可能不時要求而提供與您有關的身份信息（“客戶身份數據”或“CID”）。

在不限於我們向您提供的任何通知或您同意我們向您提供的關於處理與您的帳戶相關的個人資料以及我們為您服務的通知，您確認並同意我們可能會收集、存儲、使用、披露並根據需要傳輸與您有關的個人數據作為我們的滬深港通北向交易服務的一部分，包括以下內容：

- (a) 不時向交易所及有關交易所附屬公司披露及轉讓您的BCAN及CID，包括在向CSC輸入滬深港通訂單時指明您的BCAN，您的上述資料將再被傳送至相關滬深港通市場運營者；
- (b) 允許交易所及相關交易所附屬公司：(i) 收集、使用及儲存您的BCAN、CID及任何經有關滬深港通結算所提供的合併、驗證及配對的BCAN及CID資料（其中任何一家或通過香港交易所進行存儲）以進行市場監管和監督以及執行“交易所規則”；(ii) 不時為下文(c)及(d)段所載之目的將有關資料轉讓予相關滬深港通市場營運者（直接或透過有關中華通結算所）；及(iii) 向香港的有關監管機構和執法機構披露有關資料，以協助履行其在香港金融市場的法定職能；
- (c) 允許相關滬深港通結算所：(i) 收集、使用和儲存您的BCAN和CID，以促進BCAN和CID的合併和驗證以及BCAN和CID與其客戶身份數據庫的配對，並提供此等已合併、驗證及配對的BCAN及CID資料予有關滬深港通市場經營者，交易所及有關交易所附屬公司；(ii) 使用您的BCAN和CID以履行其監管證券賬戶管理的職能；及(iii) 向有管轄權的內地監管機構及執法機構披露有關資料，以便協助履行其對內地金融市場的監管，監察及執法職能；和
- (d) 允許有關的滬深港通市場經營者：(i) 收集、使用及儲存您的BCAN及CID，以便通過使用滬深港通服務及執行相關滬深港通市場營運商的規則，方便其監察及監管有關滬深港通市場上的證券交易；及(ii) 向內地監管機構及執法機構披露有關資料，以協助上述機構履行其對內地金融市場的監管，監察及執法職能。

通過您就與滬深港通證券有關的任何交易向我們發出指示，您確認並同意我們可能會使用您的個人資料，以遵守交易所不時有效的規定及其規則股票交易北向交易。您也承認，儘管您或隨後表示撤回同意，但您的個人數據可繼續被存儲、使用、披露、轉讓和以其他方式處理以達到上述目的。

### 未能提供個人資料或同意的後果

未能如上所述向我們提供您的個人資料或同意書，可能意味著我們不會或不能再視情況執行您的交易指示或向您提供我們的滬深港通交易服務。

## Personal Information Collection Statement concerning Northbound China Connect Orders

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

You acknowledge and agree that in providing our Stock Connect Northbound Trading Service to you, we, South China Securities Limited, will be required to:

- (i) tag each of your orders submitted to the 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 us, as appropriate; and
- (ii) provide to 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 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:

- (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 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.

#### Consequences of failing to provide Personal Data or Consent

Failure to provide us with your personal data or consent as described above may mean that we 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.

致 南華證券投資有限公司 South China Securities Limited  
 香港中環雲咸街60號中央廣場36樓  
 36/F., The Centrium, 60 Wyndham Street, Central, Hong Kong  
 信貸部收 Credit Department (傳真號碼 Fax No.: (852) 2501 5715)

#### 確認和同意 Acknowledgement and Consent

本人/吾等確認本人/吾等已閱讀及了解南華證券投資有限公司（「南華證券」）個人資料收集聲明的內容。通過勾選下面的方框，我/我們表示我/我們同意南華證券根據個人資料收集聲明中的條款和目的使用我/我們的個人資料。  
*I/We acknowledge I/we have read and understand the content of the Personal Information Collection Statement of South China Securities Limited ("SCSL"). By ticking the box below, I/we signify my/our consent for SCSL to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.*

本人/我們同意南華證券將我/我們的個人資料用於“滬深港通北向交易之個人資料收集聲明”的目的；此外，本人/我們亦已閱讀及同意刊載於南華金融網址(www.sctrade.com)內的“滬港通/深港通風險披露補充”。  
*I/We agree to SCSL's use of my/our personal data for the purposes set out in the Personal Information Collection Statement concerning Northbound China Connect Orders. In addition, I/We have also read and agreed to the "Shanghai-Hong Kong Stock Connect/Shenzhen-Hong Kong Stock Connect Risk Disclosure Statement" published on the South China Financial website (www.sctrade.com).*

簽名 Signed by: \_\_\_\_\_

英文姓名 Name in English: \_\_\_\_\_ (Surname, given name)

中文姓名 Name in Chinese: \_\_\_\_\_ (姓,名)

身份證/公司註冊證書（“COI”）編號  
 ID/Certificate of Incorporation (“COI”) No.: \_\_\_\_\_

簽發國家/地區  
 ID/COI Issuing Country/Region: \_\_\_\_\_

帳戶號碼 Account Code: \_\_\_\_\_

日期 Date: \_\_\_\_\_