同舟證券(香港)有限公司
Ark Securities (Hong Kong) Limited

香港投資者識別碼制度及場外證券交易彙報制度 - 客戶個人資料使用同意書（"同意書"）
Hong Kong Investor Identification Regime and the Over-the-counter Securities Transaction Reporting Regime – Consent Letter for Personal Data Processing（"Consent"）

客戶資料 Customer Information		
客戶名稱 Customer Name	身份證明文件號碼 ID Type & No.	账户号码 Account No.

本人/吾等明白並同意，同舟證券（香港）有限公司（"同舟證券"）為了向本人/吾等提供與在香港聯合交易所（"聯交所"）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會 （"證監會"）的規則和規定，同舟證券可收集、儲存、處理、使用、披露及轉移與本人/吾等有關的個人資料（包括本人/吾等的客戶識別資訊及券商客戶編碼）。 在不限制以上的內容的前提下，當中包括 ：

I/we acknowledge and agree that Ark Securities (Hong Kong) Limited ("Ark Securities") may collect, store, process, use, disclose and transfer personal data relating to us (including our CID and BCAN(s)) as required for Ark Securities to provide services to me/us in relation to securities listed or traded on the Stock Exchange of Hong Kong ("**SEHK**") and for complying with the rules and requirements of SEHK and the Securities and Futures Commission ("**SFC**") in effect from time to time. Without limiting the foregoing, this includes:

(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（包括客戶識別資訊及券商客戶編碼）；

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（包括客戶識別資訊及券商客戶編碼），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（包括客戶識別資訊及券商客戶編碼），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 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.

本人/吾等亦同意，即使本人/吾等其後宣稱撤回同意，同舟證券在本人/吾等宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移本人/吾等的個人資料以作上述用途。

I/we also agree that despite any subsequent purported withdrawal of consent by me/us, my/our personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

本人/吾等如未能向同舟證券提供個人資料或上述同意，可能意味著同舟證券不會或不能夠再（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 Ark Securities with my/our personal data or consent as described above may mean that Ark Securities 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 our existing holdings of securities, if any).

備註：本同意書所述的"券商客戶編碼"及"客戶識別資訊"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》第 5.6 段所界定的含義。券商客戶編碼指同舟證券根據聯交所訂明的格式為客戶編配的唯一識別碼。客戶識別資訊指與獲編配券商客戶編碼的客戶有關的以下資料：

(i) 客戶的身份證明文件上所示的全稱；

(ii) 身份證明文件的簽發國家或司法管轄區；

(iii) 身份證明文件類別（按以下優先次序排第：(1)法律實體識別編碼（LEI）登記文件；(2)公司註冊證明書；(3)商業登記證；(4)其他同等文件)；及

(iv) 身份證明文件的身份證明文件號碼。

Note: The terms "**BCAN**" and "**CID**" used herein shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the SFC. BCAN is a unique identification code assigned to the client in the format prescribed by SEHK. For the purpose of paragraph 5.6, CID shall mean the following information in relation to the client to whom a BCAN is assigned:

(i) full name of the client as shown in the client's identity document;

(ii) the issuing country or jurisdiction of the identity document;

(iii) identity document type (order of priority: (1) legal entity identifier (LEI) registration document; (2) certificate of incorporation; (3) business registration certificate; (4) other equivalent documents); and

(iv) (iv) identity document number on the identity document.

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確認及同意 Acknowledgement and Consent

本人/吾等確認已經閱讀及明白以上內容（請勾選以下其中一項）：
I/we hereby acknowledge I/we have read and understood the above. (**Please tick one of the options below**)：

☐ 本人/吾等<u>同意</u>同舟證券根據以上條款和目的使用本人/吾等的個人資料（包括客戶識別資訊及券商客戶編碼），並確認已按以上身份證明文件排序表要求向同舟證券提供本人/吾等正確、有效及最新的身份證明文件及客戶識別資訊。如本人/吾等的客戶識別資訊或其他資料有任何重大更改，本人/吾等承諾會立即通知同舟證券。
I/we hereby give my/our **CONSENT** to Ark Securities to personal use my/our data (including CID and BCAN(s)) on the terms and for the purposes set out in the above, and confirm that I/we have provided Ark Securities my/our identity document(s) and CID which conform to the order of priority of the identity documents above and are correct, valid and up-to-date. I/we undertake to promptly notify Ark Securities of any material change of my/our CID or other information.

☐ 本人/吾等<u>拒絕</u>同舟證券根據以上條款和目的使用本人/吾等的個人資料（包括客戶識別資訊及券商客戶編碼），並確認及同意同舟證券將無法執行本人/吾等買入或存入證券的指示，只能執行本人/吾等沽出或提取現有證券的指示（如有）。
I/we **OBJECT** to Ark Securities to use my/our personal data (including CID and BCAN(s)) on the terms and for the purposes set out in the above, and acknowledge and agree that Ark Securities will not be able to carry out my/our buy orders or transfer in instructions, but only can carry out my/our sell orders or transfer out instructions of our existing holdings of securities (if any).

客户签署 Customer Signature

S.V.

日期 Date:

同舟證券专用 For Ark Securities Use Only		
Receive Date:	Checked by:	Approved by:
Receive Format (Mail/E-mail):	Name:	Name:
Phone Confirmation (Y/N):	Date:	Date: