



**中華北向交易委託（投資者識別碼模式）及個人資料收集聲明同意書**

**Consent Letter on**

**Northbound China Stock Connect Orders (Investor Identification Model) and the Personal Information Collection Statement**

請填妥以下表格，簽署後電郵至 [cs@fortune3369.com.hk](mailto:cs@fortune3369.com.hk) 或傳真至 (852) 3189 2155

Please complete the form with signature and return it by email to [cs@fortune3369.com.hk](mailto:cs@fortune3369.com.hk) or fax to (852) 3189 2155

|                      |  |                     |  |
|----------------------|--|---------------------|--|
| 賬戶名稱<br>Account Name |  | 賬戶號碼<br>Account No. |  |
|----------------------|--|---------------------|--|

**處理個人資料作為中華北向交易的一部分**

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

您/ 汝等知悉及同意富強證券有限公司（“富強”）在通過中華北向交易服務過程中，富強將被要求進行以下工作：

In view of Fortune (HK) Securities Limited's ("Fortune") provision of Stock Connect Northbound Trading Services to you, you acknowledge and agree that Fortune will be required to:

- (i) 對提交到中華通交易系統的每一個客戶委託，增加一個獨一無二且專屬於客戶的券商客戶編碼（以下簡稱“BCAN”）（適用於客戶持有單一帳戶）或分配給客戶的聯名帳戶的 BCAN 碼（適用於客戶持有聯名帳戶）；及 tag each of your orders submitted to the China Stock Connect ("CSC") with Broker-to-Client Assigned Number ("BCAN") that is unique to you (for you having single account) or to your joint account (for you having a joint account) with Fortune, as appropriate; and
- (ii) 向香港交易所（以下簡稱“交易所”）提供已經編配給客戶的 BCAN 及相關客戶識別資訊（以下稱“客戶識別資訊”或“CID”），交易所可根據交易所規則而不時提出要求。  
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.

在處理與您帳戶相關的個人資料以及向您提供服務時，在不限制富強已經向您作出的通知和已經取得的您的同意情況下，作為中華北向交易服務的一部分，您知悉並同意富強可能會收集、存儲、使用、披露並傳輸您的個人資料，包括以下內容：

Without limitation to any notification Fortune have given you or consent Fortune have obtained from you in respect of the processing of your personal data in connection with your account and Fortune's services to you, you acknowledge and agree that Fortune may collect, store, use, disclose and transfer personal data relating to you as required as part of Fortune's Stock Connect Northbound Trading Service, including as follows:

- (a) 不時向交易所及其相關聯交所子公司披露及傳輸您的 BCAN 及 CID，包括向中華通交易系統輸入委託指令時標明您的 BCAN，並將進一步即時傳遞至相關中華通市場運營者；  
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) 允許交易所及其相關聯交所子公司：(i) 收集、使用以及存儲您的 BCAN、CID 以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、驗證和配對的 BCAN 和 CID 資訊（資訊由中華通結算機構或交易所保存）；(ii) 為符合下文 (c) 及 (d) 規定的目的，不時將有關資料（直接或通過相關中華通結算機構）轉移給中華通市場運營者；(iii) 向香港的相關監管機構和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；  
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) 允許相關中華通結算機構：(i) 收集、使用以及儲存您的 BCAN 和 CID，以促進 BCAN 和 CID 的整合和驗證，以及 BCAN 和 CID 與投資者資料庫的配對，並將相應整合、驗證和配對的 BCAN 和 CID 資訊提供給相關中華通市場運營者、交易所及其相關聯交所子公司；(ii) 使用您的 BCAN 和 CID 來履行其證券帳戶管理的監管職能；(iii) 向有管轄權的內地監管機構及執法機構披露有關資料，以促進其內地金融市場的監管、監察及執法職能的履行；  
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) 允許相關中華通市場運營者：(i) 收集、使用以及存儲您的 BCAN 和 CID，通過使用中華通服務及執行相關中華通市場營運商的規則，以促進其中華通市場的證券交易的監測監控；(ii) 向內地監管機構和執法機構披露有關資料，以協助履行其對金融市場的監管、監察及執法職能。  
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.

通過向富強發出關於中華通證券交易的指示，您知悉並同意，為符合與中華通北向交易相關而不時更新的交易所要求和規則，富強可以使用您的個人資料。您亦知悉，儘管您隨後聲稱撤回同意，但無論在您聲稱撤銷同意之前或之後，您的個人資料仍可繼續存儲、使用、披露、轉移以及其他處理以達到上述目的。

By instructing Fortune in respect of any transaction relating to China Connect Securities, you acknowledge and agree that Fortune 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.

#### **未能提供客戶同意書或個人資料所須承擔的後果**

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

未能向富強提供您的個人資料或作出上述同意，意味著根據具體情況富強將不會或不能執行您的交易指令或向您提供中華通北向交易服務。

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

#### **確認及同意**

#### **Acknowledgement and Consent**

本人/吾等確認本人/吾等已經閱讀並理解富強個人資料收集聲明的內容。通過勾選下面的方框，本人/吾等同意富強根據個人資料收集聲明中的條款和目的使用我的個人資料。

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

- 本人/吾等同意富強將本人/吾等的個人資料用於個人資料收集聲明所載的目的。
- I/We agree to Fortune's use of my/our personal data for the purposes set out in the Personal Information Collection Statement.

客戶簽署（及公司印，如適用）：

Client's Signature (& Company Chop, if applicable)

日期  
Date

#### **內部審批用 FOR OFFICIAL USE ONLY**

| 核對簽名<br>Signature Verified | 輸入<br>Input | 生效日期<br>Effective Date | RO 批核<br>Approved by RO |
|----------------------------|-------------|------------------------|-------------------------|
|                            |             |                        |                         |