

## 有關：實施香港投資者識別碼制度 Re: Hong Kong Investor Identification Regime (HKIDR)

根據香港證券及期貨事務監察委員會(“證監會”)於2021年8月發佈的《有關在交易層面上對香港證券市場實施投資者識別碼制度的建議以及為在香港聯合交易所(“聯交所”)上市的股份引入場外證券交易匯報制度的建議的諮詢總結文件》，我們需要向客戶收集最新的客戶識別信息及就收集及處理客戶的個人資料取得客戶的明示同意以符合要求。

With reference to the consultation conclusions on proposals to implement an investor identification regime (“HKIDR”) at trading level for the securities market in Hong Kong and introduce an over-the-counter securities transactions reporting regime (“OTCR”) for shares listed on the Stock Exchange of Hong Kong (“SEHK”) issued by the Securities and Futures Commission (“SFC”) in August 2021, updated client identification data and consent for the collection and handling of personal data are required to collect from you to fulfil the requirements.

### 1. 更新客戶識別信息 (適用於所有客戶) Update of client identification data (Applicable to all clients)

富強證券有限公司(簡稱「富強證券」或「我們」)需要確保已按證監會要求的優先次序，根據以下身分證明文件類別次序向客戶收集最新的客戶識別信息：

Fortune (HK) Securities Limited (“FSL” or “we”) are required to obtain the updated client identification data (“CID”) from you according to the order of priority on the identity document type (i.e. waterfall requirement) as required by the SFC as below:

(a)	就個人客戶而言 Individual clients	(i) 香港身份證; (ii) 國民身分證明文件; (iii) 護照 (i) HKID card; (ii) National identification document; (iii) Passport
(b)	就公司客戶而言 Corporate clients	(i) 法律實體識別編碼(LEI)登記文件; (ii) 公司註冊證明書; (iii) 商業登記證; (iv) 其他同等文件 (i) Legal Entity Identifier (“LEI”) registration document; (ii) Certificate of incorporation; (iii) Business registration certificate; (iv) other relevant documents
(c)	就屬信託的客戶而言 Trust account clients	受託人的客戶識別信息的優先次序應與上述公司或個人客戶的客戶識別信息要求相同 CID waterfall of trustee should be the same as that of a corporate or individual client as set out above
(d)	就聯名帳戶的客戶而言 Joint account clients	聯名帳戶內所有客戶的客戶識別信息應該遵循優先次序提供 CID for all clients named for a joint account should be provided according to the above CID waterfall

請注意，證監會嚴格要求客戶根據上述身分證明文件類別的優先次序提供客戶識別信息。閣下也需要不時向我們提供更新的客戶識別信息，以確保我們保存的客戶識別信息是最新的。

Please note that the SFC strictly requires the provision of identity document type according to the above waterfall. You are also required to provide us updated CID from time-to-time to ensure that CID maintained by us is up-to-date.

### 2. 同意收集及處理個人資料 (只適用於個人客戶) Consent for the collection and handling of personal data (Applicable to individual clients only)

閣下明白並同意，我們為了向閣下提供與在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監會的規則和規定，我們可收集、儲存、處理、使用、披露及轉移與閣下有關的個人資料(包括客戶識別信息及券商客戶編碼)。在不限制以上的內容的前提下，當中包括：

You acknowledge and agree that we may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and Broker-to-Client Assigned Number (“BCAN(s)”) as required for us to provide services to you in relation to securities listed or traded on the SEHK and for complying with the rules and requirements of SEHK and the 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閣下的個人資料(包括客戶識別信息及券商客戶編碼)； disclosing and transferring your 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、處理及使用閣下的個人資料(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 your 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、處理及使用閣下的個人資料(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 your 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.

閣下亦同意，即使閣下其後宣稱撤回同意，我們在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

### 3. 未能提供個人資料或同意之結果 Consequences of failing to provide personal data or consent

閣下如未能向我們提供個人資料或上述同意，可能意味著我們不會或不能夠再(視情況而定)執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉(如有)除外。如果之前提供的信息不是最新的，請向我們提供最新的客戶識別信息(填寫及簽署隨附的「更新賬戶資料表格」)和身份證明文件的副本(適用於所有客戶)。閣下確認同意有關個人資料的收集及處理，請利用以下一個種方式回覆：

Failure to provide us with your personal data or consent as described above may mean that we will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any). If the information provided previously is not up-to-date, please provide us the latest client identification data (by filling and signing the “Change of Account Information Form”) and a copy of your identification document (Applicable to all clients). To acknowledge the client consent on the collection and processing of personal data, please reply us by:

1	回覆富強發送給閣下的指定郵件；或 the designated email that sent Fortune sent to you; OR
2	簽署隨附的「客戶同意函」後送回給我們。 signing the attached “Client Consent Letter” and return to us.



**有關實施香港投資者識別碼制度 - 客戶同意函**  
**Hong Kong Investor Identification Regime (HKIDR) - Client Consents**

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

閣下明白並同意，富強證券有限公司為了向閣下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，我們可收集、儲存、處理、使用、披露及轉移與閣下有關係的個人資料（包括閣下的客戶識別信息及券商客戶編碼<sup>1</sup>）。在不限制以上的內容的前提下，當中包括 —

You acknowledge and agree that we Fortune (HK) Securities Limited may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN<sup>1</sup>(s)) as required for us to provide services to you 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閣下的個人資料（包括客戶識別信息及券商客戶編碼）； disclosing and transferring your 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、處理及使用閣下的個人資料（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 your 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、處理及使用閣下的個人資料（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 your 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.

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 You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

閣下如未能向我們提供個人資料或上述同意，可能意味著我們不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

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

**Note:**  
<sup>1</sup>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》第 5.6 段所界定的含義  
 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.”

富強證券有限公司  
 Fortune (HK) Securities Limited

本人／吾等簽字確認同意上述同意函 之內容。  
 I/ We hereby acknowledge and agree the above Client Consents.

客戶/或授權代表簽署 Signature of Client/ Authorized Person	
日期 Date	
賬戶名稱 Account Name	
賬戶號碼 Account No.	