

中华通北向交易买卖 (投资者标识符模式)及个人资料收集声明
Client Consent on Northbound China Stock Connect Orders (Investor Identification Model) and the Personal Information Collection Statement

处理客户数据作中华通北向交易的一部份

Processing of Personal Data as part of the [Stock Connect Northbound Trading]

以下段落使用的术语，与联交所规则内的术语具有相同的含义。如中、英文两个版本有任何抵触或不相符之处，应以英文版本为准。

Capitalized terms used below shall have the same meanings as defined in the Rules of The Stock Exchange of Hong Kong Limited. If there is any inconsistency or ambiguity between the English version and Chinese version, the English version shall prevail.

本人确及同意立鼎证券有限公司(「立鼎」)向本人提供中华通北向交易服务，立鼎将须：

You acknowledge and agree that in providing LEADING Securities Company Limited [Stock Connect Northbound Trading Service] to you, **LEADING Securities Company Limited (“LEADING”)** will be required to:

- (i) 使用本人独有的由券商向客户分配的编码(「券商客户编码」)，标记本人向中华通交易系统递交的每项买卖盘；
及
tag each of your orders submitted to the CSC with [a Broker-to-Client Assigned Number (“**BCAN**”) that is unique to you]; and
- (ii) 向交易所提供交易所规则可能不时要求有关本人的获分配券商客户编码及相关识别信息(「客户识别信息」)。
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.

在不受立鼎因就本人的账户及向本人提供服务而处理的资料，而由立鼎向本人发出的任何通知或立鼎从本人取得的同意下，本人确认及同意，作为立鼎提供中华通北向交易服务的一部份，立鼎可按要求收集、储存、使用、披露及转移有关本人的所有数据，其中包括以下各项：

Without limitation to any notification LEADING have given you or consent LEADING 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 LEADING 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) 不时向交易所及相关联交所子公司披露及转移本人的券商客户编码及客户识别信息，包括在向中华通交易系统输入中华通指令时指明本人的券商客户编码，该等数据将实时进一步发送至相关中华通市场营运者；
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) 准许各间交易所及相关联交所子公司：(i) 收集、使用及储存本人的券商客户编码、客户识别信息及由相关中华通结算所提供的任何综合、核实及配对的券商客户编码及客户识别信息数据 (就储存而言，由任何一间交易所或港交所进行)，以作市场监察及监督以及执行联交所规则目的；(ii)为下文 (c)及(d)所载之目的，不时转移该等数据予相关中华通市场营运者 (直接或透过相关中华通结算所)；及 (iii)向香港的相关监管机构及执法机关披露该等资料，以协助履行相关机构在香港金融市场的法定职能；
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 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 Connecting 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) 准许相关中华通结算所：(i) 收集、使用及储存本人的券商客户编码及客户识别信息，以促进综合及核实券商客户编码及客户识别信息，以及将券商客户编码及客户识别信息配合其投资者识别数据库进行配对，并向相关中华通市场营运者、交易所及相关联交所子公司提供该等综合、核实及配对券商客户编码及客户识别信息；(ii)使用本人的券商客户编码及客户识别信息，以履行其证券账户管理的规管职能；及(iii)向拥有司法管辖权的内地监管机构及执法机关披露该等资料，以协助相关机构履行对内地金融市场的规管、监察及执法职能；及

To allow the relevant China Connect Clearing House to: (i) collect, use and store your BCAN and CID 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) 准许相关中华通市场营运者: (i)收集、使用及储存本人的券商客户编码及客户识别信息, 以便通过使用中华通服务及执行相关中华通市场营运商规则, 监察及监管相关中华通市场的证券交易; 及(ii)向内地监管机构及执法机关披露通过就有关中华通证券的任何交易向立鼎发出指示。

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.

通过就有关中华通证券的任何交易向立鼎可使用本人吾等的个人资料, 以遵守交易所的规定及有关中华通北向交易时不时生效的规则。本人/吾等亦确认, 即使本人/吾等其后表示有意撤回同意, 本人/吾等的个人资料仍可能继续被储存、使用、披露、转移及以其他方式处理以达到上述目的, 不论是在有意撤回同意之前或之后亦然。

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

未能提供资或同意的后果 Consequences of failing to provide Personal Data or Consent

未能如上所述向立鼎提供本人的所有数据或同意, 则立鼎可能不会或不能继续 (视情况而定)执行本人的交易指示或向本人提供中华通北向交易服务。Failure to provide us with your personal data or consent as described above may mean that LEADING 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].

确认及同意 Acknowledgement and Consent

本人确认已阅读及理解立鼎的资料收集声明的内容。一经勾选下列方框, 即表示本人同意立鼎根据资料收集声明的条款及其中所载目的使用我的数据。

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

- 本人同意立鼎将数据用于数据收集声明所载目的。

I agree to LEADING's use of my personal data for the purposes set out in the Personal Information Collection Statement.

客户签署 Signed by: _____

(公司客户加盖公司印章 Please sign with company chop for corporate clients)

客户姓名 Client Name: _____

帐户号码 Account No: _____

日期 Date: _____