



香港投資者識別碼制度下的個人資料/其他客戶資料收集聲明（「收集聲明」）

**Personal Information/Other Client Information Collection Statement concerning investor identification regime at trading level for the securities market in Hong Kong (“Collection Statement”)**

此收集聲明適用於客戶名下的所有證券賬戶（包括但不限於聯名賬戶）。

如屬聯名賬戶，所有相關客戶均須各自提供同意及確認，方可執行買入指令或交易，或將股份轉入或將實體證書存入賬戶內。

如屬獨資及合夥商號，則須與個人賬戶分開提交同意及確認書。

This Collection Statement is applicable to all securities accounts under the name of the client (including, but not limited to joint accounts).

For joint accounts, all clients in a joint relationship have to provide their own consent and confirmation in order to effect buy orders or trades, or transfers of shares or deposits of physical certificates into the account.

For sole proprietorship and partnership, Consent & Confirmation Form must be submitted separately from personal accounts.

**A)（只適用於個人賬戶/聯名賬戶/獨資商號/合夥商號）個人資料收集聲明**

**(Applicable only to Personal Accounts/Joint Accounts/Sole proprietorship/Partnership)**

**Personal Information Collection Statement**

客戶確認並同意中國銀行(香港)有限公司(“銀行”)及/或相關經紀(“經紀”)為了向客戶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，銀行及/或經紀可收集、儲存、處理、使用、披露及轉移與客戶有關的個人資料(包括客戶的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—

Clients acknowledge and agree that the Bank of China (Hong Kong) Limited (“the Bank”) and/or the related brokers (“the Brokers”) may collect, store, process, use, disclose and transfer personal data relating to the clients (including clients’ Client Identification Data (“CID”) and Broker-Client Assigned Number (“BCAN”)(s)) as required for the Bank and/or the Brokers to provide services to the clients 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客戶的個人資料

(包括客戶識別信息及券商客戶編碼)；

disclosing and transferring clients' 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、處理及使用客戶的個人資料(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不時生效的《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 clients' personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK in effect from time to time; 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、處理及使用客戶的個人資料(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 clients' 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.

- (d) (於可用的情況下)向香港中央結算有限公司(香港結算)提供券商客戶編碼以允許香港結算：  
(i)從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於客戶的客戶識別信息，及向發行人的股份過戶登記處轉移客戶的客戶識別信息，以便核實客戶未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及(ii)處理及儲存客戶的客戶識別信息，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移客戶的客戶識別信息，以便處理客戶對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。

(where available) providing BCAN to Hong Kong Securities Clearing Company Limited (HKSCC) allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store clients' CID and transfer clients' CID to the issuer's share registrar to enable HKSCC and/ or the issuer's share registrar to verify that the clients have not made any duplicate applications for the relevant share subscription and to facilitate initial public offerings ("IPO") balloting and IPO settlement; and (ii) process and store clients' CID and transfer clients' CID to the issuer, the issuer's share registrar, the SFC, SEHK and any other party involved in the IPO for the purposes of processing clients' application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.

客戶亦同意，即使客戶其後宣稱撤回同意，銀行及/或經紀在客戶宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移客戶的個人資料以作上述用途。

Clients also agree that despite any subsequent purported withdrawal of consent by them, their personal data may continue to be stored, processed, used, disclosed or transferred by the Bank and/or the Brokers for the above purposes after such purported withdrawal of consent.

## B) (適用於所有賬戶) 客戶資料確認

### (Applicable to all accounts) Confirmation of Client information

客戶確認就客戶的賬戶及各項交易給予銀行及/或經紀的所有資料(包括客戶識別信息)均屬有效、真實、完整、準確及最新，客戶亦明白如客戶識別信息或其他資料有所更改及/或有更優先的身份證明文件(※請留意下方之說明)，客戶應從速通知銀行<sup>1</sup>。

#### ※客戶識別信息

- 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名(請向銀行提供或更新中英文完整姓名(如有))；
  - (ii) 身份證明文件的簽發國家/地區或司法管轄區；
  - (iii) 身份證明文件類別(請按身份證明文件排序表向銀行提供或更新(如適用))；
  - (iv) 身份證明文件號碼

#### ※身份證明文件優先次序

- (I) 個人客戶：(1)香港身份證；(2)國民身份證明文件；(3)護照(註：不接受往來港澳通行證、前往港澳通行證及香港特別行政區簽證身份書)
- (II) 公司客戶：(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
- (III) 就信托而言：(I)或(II)(視情況而定)的受托人資料。然而，若信托是一個投資基金，則應提供該信托在本行開立交易賬戶的資產管理公司或個別基金(視何者適用而定)的客戶識別信息

Clients confirm that all information (including CID) given to the Bank and/or the Brokers for the purpose of their accounts and every transaction is valid, true, complete, accurate and up-to-date. Clients also understand that they should promptly notify the Bank of any change to their CID or other information, and/or the availability of their identity document of a higher priority<sup>1</sup>. (※ Please note the descriptions below)

#### ※CID

- means the following information in relation to a client to whom a BCAN is assigned:
  - (i) the full name of the client as shown in the client's identity document (please provide or update the Bank with full Chinese and English names, if any);
  - (ii) the issuing country/region or jurisdiction of the identity document;
  - (iii) the identity document type (please provide or update the Bank in accordance with the waterfall of the identity documents, if applicable);

<sup>1</sup> 如客戶需要更改其資料(包括客戶識別信息)，請向銀行職員索取相關表格。

If clients would like to update their information (including Client Identification Data), please contact the Bank's staff to request for the relevant form(s).

(iv) the identity document number

※ The priority of the identity documents

- (I) Individual client: (1) HKID card; (2) national identification document; (3) passport (Note: Exit-entry Permit for Travelling to and from Hong Kong and Macao, Permit for Proceeding to Hong Kong and Macao and HKSAR Document of Identity for Visa Purposes are not accepted)
- (II) Corporate client: (1) LEI registration document; (2) certificate of incorporation; (3) business registration certificate; (4) other equivalent documents
- (III) For a client that is a trust: the trustee's information as in (I) or (II) (as the case may be). However in the case of a trust which is an investment fund, CID of the asset management company or the individual fund, as appropriate, which has opened a trading account with the relevant licensed or registered person should be provided.

**如客戶未能提供個人資料/客戶資料、或確認客戶資料的後果**

**Consequences of failing to provide personal data or consent, or confirm client information**

客戶明白如客戶未能向銀行提供上述客戶的個人資料或有關授權(只適用於個人賬戶/聯名賬戶/獨資商號/合夥商號)，或未能確認客戶資料(適用於所有賬戶)，這可能代表著銀行將不會或不能夠再(視情況而定)執行客戶的交易或向客戶提供香港股票交易服務，惟出售、轉出或提取客戶現有的證券持倉(如有)除外。

Clients understand their failure to provide the Bank with their personal data or consent (applicable only to Personal Accounts/Joint Accounts/Sole proprietorship/Partnership) or to confirm the client information as described above (applicable to all accounts) may mean that the Bank will not, or no longer be able to, as the case may be, to carry out their trading instructions or provide them with the Bank's trading services of Hong Kong Stock (other than to sell, transfer out or withdraw their existing holdings of securities, if any).

備註 Note :

1. 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.

2. 如屬相關受規管中介人(例如券商)，基於對實際市場情況及內部運作的慎重考慮後，銀行及/或經紀將暫停執行其證券交易指示。

For Relevant Regulated Intermediaries (e.g. brokers), based on the serious consideration of the actual market situation and internal operation, the Bank and/or the Brokers will suspend the carrying out of their securities trading instructions.

3. 如中英版本有任何歧異，概以中文版本為準。

Should there be any inconsistency between the English and Chinese versions, the Chinese version shall prevail.