

Personal Information Collection Statement and Client Identification Data (“CID”)

个人资料收集及客户识别信息声明

Part 1: Processing of Personal Data under HKIDR and OTCR

第一部分：有关香港投资者识别码制度及场外交易汇报制度的个人资料处理

You acknowledge and agree that we may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(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:

阁下在此确认并同意，为了向阁下提供与在香港联合交易所（联交所）上市或买卖的证券相关的服务，以及为了遵守不时生效的联交所与证券及期货事务监察委员会（证监会）的规则和规定，我们可收集、储存、处理、使用、披露及转移与阁下有关的个人资料（包括阁下的客户识别信息及券商客户编码）。在不限制以上的内容的前提下，当中包括：

- (a) 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;
根据不时生效的联交所及证监会规则和规定，向联交所及 / 或证监会披露及转移阁下的个人资料（包括客户识别信息及券商客户编码）；
- (b) 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
允许联交所：(i)收集、储存、处理及使用阁下的个人资料（包括客户识别信息及券商客户编码），以便监察和监管市场及执行《联交所规则》；(ii)向香港相关监管机构和执法机构（包括但不限于证监会）披露及转移有关资料，以便他们就香港金融市场履行其法定职能；及(iii)为监察市场目的而使用有关数据进行分析；及
- (c) 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.
允许证监会：(i)收集、储存、处理及使用阁下的个人资料（包括客户识别信息及券商客户编码），以便其履行法定职能，包括对香港金融市场的监管、监察及执法职能；及(ii)根据适用法例或监管规定向香港相关监管机构和执法机构披露及转移有关资料。
- (d) 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 your CID and transfer your CID to the issuer's share registrar to enable HKSCC and/ or the issuer's share registrar to verify that you have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store your CID and transfer your 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 your application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.
向香港中央结算有限公司（香港结算）提供券商客户编码以允许香港结算：(i)从联交所取得、处理及储存允许披露及转移给香港结算属于阁下的客户识别信息，及向发行人的股份过户登记处转移阁下的客户识别信息，以便核实阁下未就相关股份认购进行重复申请，以及便利首次公开招股抽签及首次公开招股结算程序；及(ii)处理及储存阁下的客户识别信息，及向发行人、发行人的股份过户登记处、证监会、联交所及其他公开招股的有关各方转移阁下的客户识别信息，以便处理阁下有对有关股份认购的申请，或为载于公开招股发行人的招股章程的任何其他目的。

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. 閣下亦同意，即使閣下其后宣称撤回同意，我们在閣下宣称撤回同意后，仍可继续储存、处理、使用、披露或转移閣下的个人资料以作上述用途。

Part 2: CID under HKIDR and OTCR

第二部分：有关香港投资者识别码制度及场外交易汇报制度的客户识别信息

In accordance with the regulatory requirements of the SFC, CID of a client should be collected from the identity document which is first mentioned in the list below save that where the client does not hold such document, the next mentioned document should be used and so forth: (1) HKID card (including HKID card for non-permanent resident); or (2) National identification document; or (3) Passport.

根据证监会的监管要求，个人客户的客户识别信息应收集自以下清单首述的身份证明文件，如客户并无持有该文件，则应使用所提述的下一份身份证明文件，如此类推：

(1)香港身份证（包括香港非永久性居民身份证）；或(2)国民身份证明文件；或(3)护照。

For Joint account, please provide the CID for all joint account holders.

对于联名账户，请提供账户内所有账户持有人的身份证明文件

Please answer the following question(s) and provide a copy of the relevant identification document.

请回答以下问题及提供相关身份证明文件副本。

1. Do you have a HKID card (including Hong Kong Permanent or Non-permanent Identity Card)?

閣下是否持有香港身份证（包括香港永久性或非永久性居民身份证）？

☐ No 否 (Please answer Question 2. 请回答问题 2。)

☐ Yes 是 (Please provide the HKID card number 请提供香港身份证号码: _____)

2. Do you have any national identification document*?

閣下是否持有任何国民身份证明文件*？

☐ No 否 (Please answer Question 3. 请回答问题 3。)

☐ Yes 是 (Please fill in the following table. 请填写下表。)

ID no. 身份证件号码			
Issuing country/area 签发国家/地区		Expiry date 证件到期日	

* Note 注: Countries/areas with national identification document include but not limited to “China”, “Taiwan, China”,

“Macau, China”, “Singapore”, “Malaysia”, “India”, “Thailand”, “Indonesia”, “Korea”, etc.

持有国民身分证明文件的国家/地区包括但不限于“中国”、“中国台湾”、“中国澳门”、“新加坡”、“马来西亚”、“印度”、“泰国”、“印度尼西亚”、“韩国”等。

3. Do you have any passport?

閣下是否持有任何护照？

☐ No 否 (We are not able to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong.)

(我们不能向閣下提供与在香港联合交易所上市或买卖的证券相关的服务。)

☐ Yes 是 (Please fill in the following table. 请填写下表。)

ID no. 身份证件号码			
Issuing country/area 签发国家/地区		Expiry date 证件到期日	

Consequences of failing to provide Consent or CID

未能提供个人资料收集声明同意或未能按优先次序要求提供身份证明文件的后果

Failure to provide us with your consent or CID 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) after the implementation of HKIDR and OTCR.

阁下如未能向我们提供个人资料收集声明同意或未能按照证监会指定的优先次序要求向我们提供所需的身份证明文件，在香港投资者识别码及场外交易制度实施后，可能意味着我们不会或不能够再（视情况而定）执行阁下的交易指示或向阁下提供证券相关服务，惟出售、转出或提取阁下现有的证券持仓（如有）除外。

Acknowledgement and Consent

确认和同意

By signing the form below, I acknowledge, undertake and agree with the following:

签署以下表格，即代表阁下确认、承诺并同意以下事项：

☐ I acknowledge I have read and understand the content of the Personal Information Collection Statement and Client Identification Data Update of BOCI Securities Limited ("BOCIS"). I agree to BOCIS's use of my personal data for the purposes set out in the Personal Information Collection Statement and Client Identification Data Update. I also represent that I am in the capacity and being duly authorized by other joint account holder(s) (if applicable) to agree to BOCIS's use of the personal data for the purposes set out in the Personal Information Collection Statement and Client Identification Data Update.

本人确认本人已阅读并理解中银国际证券有限公司的个人资料收集和客户识别信息更新声明的内容。本人同意中银国际证券有限公司根据个人资料收集和客户识别信息更新声明的条款和目的使用本人的个人资料。本人亦确认本人有能力及已获其它联名户口的账户持有人授权同意中银国际证券有限公司使用其它联名户口的账户持有人的个人资料用于个人资料收集和客户识别信息更新声明所列明的目的。

☐ I confirm that the identity document is provided to BOCIS in accordance with the order of priority on the type of identity document as specified and required by the SFC. If there are any update to my identity document or any previously provided identity documents, I will notify BOCIS immediately and provide a copy of the updated identity documents.

本人确认已阅读并理解以及证监会指定的身份证明文件优先次序要求，并已按照优先次序要求提供相应的身份证明文件。若已提供的身份证明文件或是身份证明文件的优先次序有任何更新，本人将会立即通知中银国际，并提供身份证明文件副本。

Signature 签名:	
Account Name 账户名称:	
Account Number 账户号码:	
Date 日期:	

For Official Use Only	
Signature Verified	Checked By
Y/N	

Explanatory Notes 注释

1. BOCI Securities Limited and its group companies shall not be responsible or liable for any loss or damage, directly or indirectly, arising from the use of or reliance upon any information provided in this document.
中银国际证券有限公司及其集团公司一概不负任何责任因使用或依赖本声明书提供的任何信息而引起的直接或间接的损失或损害。
2. The terms “BCAN” and “CID” used in this letter 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.
本声明书所述的“券商客户编码”及“客户识别信息”具有《证券及期货事务监察委员会持牌人或注册人操守准则》第5.6段所界定的含义。
3. In the event of any conflict between any provision of the English version of this document and the Chinese version, the English version shall prevail.
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