

北向交易投资者识别码模式客户同意书

证券及期货事务监察委员会（证监会）就为中华通证券服务的沪股通及深股通交易，已于 2017 年 11 月 30 日公布投资者识别码制度，将涉及香港联交所及其附属公司收集和使用个人资料，以及向内地交易所及中国证监会转交有关资料。本人 / 吾等已仔细阅读，完全理解并签署同意如下：

中华通证券服务

客户明白及同意，西证为客户提供中华通证券交易服务时，西证须要：

- (a) 在提交每一客户交易指令予中华通买卖盘订单传递系统时，在交易指令中附加上客户唯一的券商客户编码或（如客户账户为联名账户）客户联名账户获分配的券商客户编码；及
- (b) 向交易所提供客户唯一的券商客户编码及一切交易所按照其规则不时要求索取的关于客户的身份识别资料。

不受限于西证就着因应客户的账户或提供服务予客户而处理客户个人资料而给予客户的通知或取得的客户同意，客户明白及同意，作为西证中华通证券交易服务的一部份，西证可以作出下述的收集、储存、使用、披露及转移客户的个人资料的行为：

- (a) 不时向交易所及相关交易所附属公司披露及转移客户的券商客户编码及客户识别信息，包括在中华通买卖盘订单传递系统输入中华通证券交易指令时显示客户的券商客户编码，并实时转传至相关中华通证券交易营运者；
- (b) 容许交易所及各相关交易所附属公司：(i)收集、使用及储存客户的券商客户编码及客户识别信息以及相关中华通结算所提供（以储存而言，它们通过香港交易所进行）的合并、核实及配对的券商客户编码及客户识别信息资料，以作市场监察及执行交易所规则用途；(ii) 基于下列(c)及(d)所述目的，不时（直接或通过相关中华通结算所）转移该等资料予相关中华通证券交易营运者；及(iii) 披露该等资料予香港相关监管机构及执法机关，以配合其履行关于香港金融市场的法定职能；
- (c) 容许相关中华通结算所：(i)收集、使用及储存客户的券商客户编码及客户识别信息，以对券商客户编码及客户识别信息作出合并及核实并与其投资者身份识别资料库作出配对，及把合并、核实及配对的券商客户编码及客户识别信息资料提供予相关中华通证券交易营运者、交易所及相关交易所附属公司；(ii)使用客户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法定职能；及(iii)披露该等资料予中国大陆相关监管机构及执法机关，以配合其履行关于中国大陆金融市场的监管、监察及执法职能；及
- (d) 容许相关中华通证券交易营运者：(i)收集、使用及储存客户的券商客户编码及客户识别信息，以监察通过使用中华通服务在相关中华通市场进行之证券交易，和执行相关中华通证券交易营运者之规则；及(ii)披露该等资料予中国大陆相关监管机构及执法机关，以配合其履行关于中国大陆金融市场的监管、监察及执法职能。

当客户指示西证进行任何中华通证券的交易时，客户明白及同意，西证可以使用客户的个人资料于遵守交易所的要求及其对中华通北向交易不时生效的规则。客户也明白，即使未来客户计划撤消其同意，客户的个人资料（不论客户撤消客户同意前或后）会继续被储存、使用、披露、转移或以其他方式处理，以达至上述目的。

不能提供个人资料或同意的后果

客户不能如上述向西证提供个人资料或同意，将可能导致西证（按情况）不会或不可继续执行客户的交易指示或向客户提供中华通证券交易服务。

如客户有任何查询，请即联络阁下之经纪或客户服务热线(852) 2238-9238。

客户签署及公司印章(如适用)			
			
客户姓名			
帐户号码		签署日期	

OFFICIAL USE ONLY

Signed by AE/Staff:	Signature Verified and Data Input by CS Dept.:	Approved by Responsible Officer:

CLIENT CONSENT ON THE NORTHBOUND INVESTOR ID MODEL

The Hong Kong Securities and Futures Commission announced the investor identification regime for Northbound trading under China Connect Service on 30 November 2017. It will entail the collection and use of personal data by the SEHK and its subsidiaries, as well as its transfer to the Mainland exchanges and the CSRC. I/We have carefully read, fully understood and hereby sign this consent as follows:

China Connect Service

The Client acknowledges and agrees that in providing Southwest's China Connect securities trading service to the Client, Southwest will be required to:

- tag each of the Client's orders submitted to the China Stock Connect System ("CSC") with a Broker-to-Client Assigned Number ("BCAN") that is unique to the Client or the BCAN that is assigned to the Client's joint account with Southwest, as appropriate; and
- provide to the Exchange the Client's assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to the Client as the Exchange may request from time to time under the Rules of the Exchange.

Without limitation to any notification Southwest has given the Client or consent Southwest has obtained from the Client in respect of the processing of the Client's personal data in connection with the Client's account and Southwest's services to the Client, the Client acknowledges and agrees that Southwest may collect, store, use, disclose and transfer personal data relating to the Client as required as part of Southwest's China Connect securities trading service, including as follows:

- to disclose and transfer the Client's BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating the Client's 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;
- to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store the Client's 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;
- to allow the relevant China Connect Clearing House to: (i) collect, use and store the Client's 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 the Client's 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
- to allow the relevant China Connect Market Operator to: (i) collect, use and store the Client's 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.

By instructing Southwest in respect of any transaction relating to China Connect Securities, the Client acknowledges and agrees that Southwest may use the Client's 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. The Client also acknowledges that despite any subsequent purported withdrawal of consent by the Client, the Client's 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.

Consequences of failing to provide Personal Data or Consent

Failure to provide Southwest with the Client's personal data or consent as described above may mean that Southwest will not, or no longer be able, as the case may be, to carry out the Client's trading instructions or provide the Client with Southwest's China Connect securities trading service.

Should you have any queries, please feel free to contact your Account Executive or Customer Services Hotline (852) 2238-9238.

Client Signature & Company Chop (if applicable)			
			
Client Name			
Account Number		Date	

OFFICIAL USE ONLY

Signed by AE/Staff:	Signature Verified and Data Input by CS Dept.:	Approved by Responsible Officer: