



**Processing of Personal Data as part of the Stock Connect Northbound Trading**  
**處理個人資料是中華通北向交易的一部分**

You acknowledge and agree that in providing Stock Connect Northbound Trading Service to you, Wocom Securities Limited will be required to: 您知悉並同意宏高證券（“本公司”）在向您提供中華通北向交易服務時，本公司將被要求：

- (i) tag each of your orders submitted to the China Stock Connect System (“CSC”) with a Broker-to-Client Assigned Number (“BCAN”) that is unique to you or the BCAN that is assigned to your joint account with us, as appropriate; and 為每個個人戶口及聯名戶口之客戶（如適用），分配一個獨一無二的券商客戶編號（“BCAN”），以標記您的每份交易指令及提交到中華通交易系統；和
- (ii) 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. 向香港交易所提供您的BCAN以及您的身份信息（“客戶身份資料”或“CID”），交易所亦可根據交易所規則而不時向本公司索取您的個人資料。

Without limitation to any notification we have given you or consent we 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 we 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: 在不局限本公司就使用或處理您的客戶資料向您發出的任何通知或已經取得您的任何同意書之內容的原則下，您知悉並同意本公司可能會於提供中華通交易服務過程中，收集、儲存、使用、披露，並根據需要轉交與您有關的個人資料，其中包括：

- (a) 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; 向香港交易所及其相關子公司不時披露並轉交您的BCAN和CID，包括在輸入中華通交易指令時註明您的BCAN，並實時將其進一步發送至相關中華通市場營運者；
- (b) 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 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; 允許各交易所及其相關子公司：(i) 收集、使用及儲存您的BCAN、CID以及由相關中華通結算所為市場監督、監察及執行交易所規則而整合、驗證及配對BCANs及CID資料（資料將由中華通結算所或香港交易所保存）；(ii) 為符合下文(c)及(d)段所載之目的，不時將有關資料（直接或透過相關中華通結算所）轉交給中華通市場營運者；及(iii) 向香港相關監管機構和執法機構披露有關資料，以協助履行其在香港金融市場的法定職能；
- (c) to allow the relevant China Connect Clearing House to: (i) collect, use and store your 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 Subsidiaries; (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 允許相關中華通結算所：(i) 收集、使用和儲存您的BCAN和CID，以協助BCAN和CID的整合和驗證，將BCANs和CID與其投資者識別數據庫作出配對，並提供此等合併、驗證及已配對的BCANs及CID資料予相關中華通市場營運者、香港交易所及其相關子公司；(ii) 使用您的BCAN和CID以履行其證券賬戶管理的監管職能；及(iii) 向有管轄權的內地監管機構及執法機構披露有關資料，以協助履行其對內地金融市場的監管、監察及執法職能；和

**Consent Letter on Personal Information Collection  
Statement for Northbound China Connect Orders**

中華通北向交易指令之個人資料收集聲明客戶同意書



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SECURITIES  
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- (d) 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. 允許相關中華通市場營運者：(i) 通過使用中華通服務及執行中華通市場營運者的規則，收集、使用及儲存您的BCAN及CID，以便監察及監管相關中華通市場上的證券交易；及(ii) 向內地監管機構及執法機構披露有關資料，以協助履行其對內地金融市場的監管、監察及執法職能。

By instructing us in respect of any transaction relating to China Connect Securities, you acknowledge and agree that we 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. 通過向本公司發出就中華通證券有關的任何交易指示，您知悉並同意本公司可以使用您的個人資料，以遵守香港交易所對中華通北向交易不時更新的要求及其規則。您亦知悉，儘管您隨後表示撤回此同意，但您的個人數據仍有機會繼續被儲存、使用、披露、轉交和以其他方式處理以達到上述目的，無論是在此同意的撤銷之前還是之後。

**Consequences of failing to provide Personal Data or Consent 未能提供個人資料或同意的後果**

Failure to provide us with your personal data or consent as described above may mean that we 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. 若您未能向本公司提供您的個人資料或作出上述同意，可能意味著本公司將不會或不能再執行您的交易指令或向您提供中華通北向交易服務。

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**Acknowledgement and Consent 確認和同意**

I/We acknowledge I/We have read and understand the content of this Personal Information Collection Statement. By ticking the box below, I/We signify my consent for Wocom Securities Limited to use my personal data on the terms of and for the purposes set out in the Personal Information Collection Statement. 本人/吾等確認本人/吾等已閱讀並理解以上的個人資料收集聲明的內容。通過勾選下面的方框，本人/吾等表示同意宏高證券根據個人資料收集聲明中的條款和目的使用本人/吾等之個人資料。

I/We agree to Wocom Securities Limited's use of my personal data for the purposes set out in the Personal Information Collection Statement. 本人/吾等同意宏高證券將本人/吾等之個人資料用於個人資料收集聲明所載的目的。

Authorized Signature (s):

客戶簽署

(same as the signature in our record 與本公司記錄中的簽署相同)

Account No.:

戶口號碼

Account Name:

戶口姓名

Date:

日期

(dd/mm/yy (日/月/年))

For Office Use Only		
Witnessed and Identity Card / Passport / BR** Checked By	Verified By	Reviewed By
AE Name:		
Date:	Date:	Date: