

## 香港投資者識別碼制度及場外證券交易匯報制度之個人資料收集聲明 Personal Data Collection Statement Concerning the Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR)

閣下明白並同意，我們元大證券(香港)有限公司為了向閣下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，我們可收集、儲存、處理、使用、披露及轉移與閣下有關係的個人資料(包括閣下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——

You acknowledge and agree that we Yuanta Securities (Hong Kong) Company Limited 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 -

- 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閣下的個人資料(包括客戶識別信息及券商客戶編碼)；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;
- 允許聯交所：(i)收集、儲存、處理及使用閣下的個人資料(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《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 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
- 允許證監會：(i)收集、儲存、處理及使用閣下的個人資料(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 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.
- 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閣下的客戶識別信息，及向發行人的股份過戶登記處轉移閣下的客戶識別信息，以便核實閣下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)處理及儲存閣下的客戶識別信息，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閣下的客戶識別信息，以便處理閣下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。 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.

閣下亦同意，即使閣下其後宣稱撤回同意，我們在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。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.

閣下如未能向我們提供個人資料或上述同意，可能意味著我們不會或不能夠再(視情況而定)執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉(如有)除外。

Failure to provide us with your personal data or consent 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).

備註：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。

Note: 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.

本人/吾等確認本人/吾等已閱讀並理解本聲明的內容。本人/吾等謹此同意元大證券(香港)有限公司將本人/吾等之個人資料用於本聲明所載的目的。  
I/We acknowledge I/We have read and understand the content of this Statement. I/We hereby give my/our consent for Yuanta Securities (Hong Kong) Company Limited to use my/our personal data on the terms of and for the purposes set out in this Statement.

帳戶持有人簽署 Account Holder Signature(s)	確認和同意： Acknowledged and Consented by:  X Please use the signature(s) field with our company 請用留存本公司之印鑑式樣	帳戶號碼 Account No.	
帳戶名稱 Account Name		日期 Date	日 day / 月 month / 年 year (公元 D.C.)

For official use only 僅供職員填寫			
Approved by (if applicable)	Signatory Verified by	Data Input by	Data Input Checked by
Date	Date	Date	Date

請將已簽署的表格完整正本(共一頁)以郵寄、親臨本公司或電郵方式(例如經在我們登記的註冊電郵)遞交。如欲查詢，請與閣下帳戶經理人查詢。

Please submit your completed form (total 1 pages) to us in person, by post or by email(e.g. by email which is registered with us). For inquiries, please contact your Account Executive.

郵寄 By Post: 香港金鐘夏愨道 18 號海富中心 1 座 23 樓  
23/F, Tower 1, Admiralty Centre, 18 Harcourt Road, Admiralty, Hong Kong  
電郵 By eMail: HK.Services.brk@yuanta.com

## 投資者識別制度

此項張簡介投資者識別制度及需要留意的事項。該制度最早將於2022年下半年實施。想知道更多資料，請瀏覽證券及期貨事務監察委員會(證監會)網頁。

### 為何推行投資者識別制度？

- 現時，證監會通過香港聯合交易所(聯交所)的交易系統，只可以知悉哪些交易所參與者(即與聯交所系統直接對接的券商)就證券買賣下單。
- 當出現可疑交易時，證監會需要向券商索取該項交易高後的實際投資者資料，限制市場監察工作的有效性。
- 通過投資者識別制度，證監會可更快地得悉下單投資者的資料。這有助提升證監會的市場監察功能、保持市場的廉潔穩健並加強投資者保障，使市場行穩致遠。



### 制度要點及所需的投資者配合

- 在投資者識別制度下，券商會把個人投資者客戶的身份證明文件資料(包括姓名、身份證明文件的發出地、類別、號碼)遞交予聯交所的保密資料庫。如投資者持有香港身份證，但先預用了其身份證明文件開戶，券商將跟進並更新其個人身份證明文件資料。
  - 為遵守《個人資料(私隱)條例》，券商必須取得其客戶的同意書，才可把客戶的個人身份證明文件資料交予保密資料庫。未有提供客戶同意書予其券商的客戶可繼續售出其持有的證券，但需在提供客戶同意書後，方可繼續購買證券。
  - 制度實行後，在調查可疑市場活動時，證監會將利用券商在下單時已輸入的“券商客戶編碼”，查閱與保密資料庫內匹配的投資者身份資料，從而快速有效地找出相關的投資者。



### 資料保密



資料庫內的資料將加密處理，並僅讓證監會及聯交所的獲授權人員查取。任何資料查取的舉動將備有詳細紀錄，而未經授權的登入將被調查。保密資料庫將設置資料保安及資料查取監控措施。該等措施會定期更新，以緊貼最新的科技發展情況。

註1：如投資者的投資戶口設於銀行，則由該銀行取得該個人投資者的同意書並遞交個人身份證明文件資料予保密資料庫。  
註2：“券商客戶編碼”為每名券商及銀行內部編配給各客戶，券商和銀行在下單操作時必須輸入自身的中央編碼和該客戶的券商客戶編碼到交易指令內。在下單過程中，券商及銀行並不需要輸入投資者的個人資料包括姓名和身份證號碼。

## Investor identification regime

This leaflet briefly summarises the investor identification regime and draws investors' attention to some important matters. The regime will be implemented in the second half of 2022 at the earliest. Please visit the Securities and Futures Commission's (SFC) [website](#) for more information.

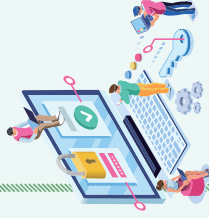
### Why introduce an investor identification regime?

- Currently, the SFC can only identify exchange participants (ie, brokers) which place securities orders directly through the Stock Exchange of Hong Kong's (SEHK) trading system.
- When the SFC detects suspicious trading activities, it needs to seek information from brokers about the actual investors behind the trades. This limits the effectiveness of its market surveillance work.
- With an investor identification regime, the SFC could quickly obtain information about investors who place orders. This will enhance the SFC's market surveillance function, help maintain market integrity and strengthen investor protection, thereby promoting the long-term development of the market.



### Key features and cooperation required from investors

- Under the investor identification regime, brokers will submit individual clients' identity information (including name and identity document number, type, and place of issue) to a secured data repository of SEHK. If investors have Hong Kong identity cards but used different identity documents to open accounts, brokers will need to follow up with them to update their identity information with their Hong Kong identity card information.
  - To comply with the Personal Data (Privacy) Ordinance, brokers will have to obtain their clients' consent before submitting their personal identity information to the secured data repository. Clients who have not provided this consent will still be able to sell their securities but will not be able to purchase securities until they do so.
  - When investigating suspicious market activity, the SFC will use the Broker-to-Client Assigned Number, which is inputted by brokers when placing a securities order, to access the identity information in the secured data repository to identify the investor.



### Data security



The information in the data repository is encrypted and is only accessible by authorised personnel of the SFC and SEHK. Data security and access control measures will be updated regularly with the latest technological developments. Detailed audit trails are maintained of all access, and unauthorised access will be investigated.

Note 1: If an investor's investment account is maintained at a bank, the bank will obtain the individual's consent and submit the identity information to the secured data repository.  
Note 2: The "Broker-to-Client Assigned Number" is an internal code assigned by brokers and banks to each of their clients. When placing a securities order, brokers and banks must input their own central entity number and their client's internal code. Personal information, including names and identity card numbers, will not be included in securities orders.