



新富證券有限公司（“新富”）

證監會註冊 CE 編號：AAC648

香港聯合交易所有限公司參與者及證監會註冊證券交易商

香港皇后大道中 183 號 新紀元廣場 中遠大廈 20 字樓

## 客戶同意函件：投資者識別碼及場外證券匯報制度 Client Consents : CID and OTC Securities Reporting Regime

本人／吾等 明白並同意，新富證券有限公司（“新富”）為了向 本人／吾等 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，新富可收集、儲存、處理、使用、披露及轉移與 本人／吾等 有關的個人資料（包括 本人／吾等 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：

I/We acknowledges and agrees that Sanfull Securities Limited (“SSL”) may collect, store, process, use, disclose and transfer personal data relating to me/us (including CID and BCAN(s)) as required for SSL to provide services to me/us 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 本人／吾等 的個人資料（包括 本人／吾等 的客戶識別信息及券商客戶編碼）；  
disclosing and transferring my/our 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：（1）收集、儲存、處理及使用閣下的個人資料（包括 本人／吾等 的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》；（2）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（3）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 my/our 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
- C. 允許證監會：（1）收集、儲存、處理及使用閣下的個人資料（包括 本人／吾等 的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（2）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 my/our 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. 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：（1）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 本人／吾等 的客戶識別信息，及向發行人的股份過戶登記處轉移 本人／吾等 的客戶識別信息，以便核實 本人／吾等 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（2）處理及儲存 本人／吾等 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 本人／吾等 的客戶識別信息，以便處理 本人／吾等 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 my/our CID and transfer my/our CID to the issuer’s share registrar to enable HKSCC and/ or the issuer’s share registrar to verify that I/we 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 my/our 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 my/our application for the relevant

share subscription or any other purpose set out in the IPO issuer's prospectus.3

本人／吾等 亦同意，即使 本人／吾等 其後宣稱撤回同意，新富在 本人／吾等 宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移 本人／吾等 的個人資料以作上述用途。如 本人／吾等 未能向新富提供個人資料或上述同意，可能意味著新富不會或不能夠再（視情況而定）執行 本人／吾等 的交易指示或向 本人／吾等 提供證券相關服務，惟出售、轉出或提取 本人／吾等 現有的證券持倉（如有）除外。  
I/We also agree that despite any subsequent purported withdrawal of consent by me/us, my/our personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes by SSL after such purported withdrawal of consent. Failure to provide SSL with my/our personal data or consent as described above may mean that SSL will not, or will no longer be able to, as the case may be, carry out my/our trading instructions or provide me/us with securities related services (other than to sell, transfer out or withdraw my/our existing holdings of securities, if any).

**備註：**有關「券商客戶編碼」及「客戶識別信息」將依據不時修訂的《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 the above-mentioned 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.

**確認和同意 Acknowledgment and Consent :**

本人／吾等 確認已閱讀並理解由新富所發布的這份聲明之內容。

I/We acknowledge I/we have read and understand the content of this statement issued by SSL.

本人／吾等 表示同意新富根據本聲明中的條款和目的使用 本人／吾等 的個人資料。

I/we signify my/our consent for SSL to use my/our personal data on the terms of and for the purposes set out in this statement.

本人／吾等 同意新富將 本人／吾等 的個人資料用於本聲明所述的目的。

I/We agree that SSL may use my/our personal data for the purposes set out in this statement.

簽署

Signature :

帳戶名稱

Account Name :

日期

Date :

帳戶號碼

Account No. :

**For Office Use Only:**

Signature

verified: \_\_\_\_\_

Date: \_\_\_\_\_

Input by: \_\_\_\_\_

Date: \_\_\_\_\_

Approved by: \_\_\_\_\_

Date: \_\_\_\_\_

Checked by: \_\_\_\_\_

Date: \_\_\_\_\_