金聯證券有限公司
Goldlink Securities Limited

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中國金聯
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香港投資者識別碼制度及場外證券交易匯報制度的客戶同意函
Consent under the Hong Kong Investor Identification Regime (HKIDR) and
Over-the-counter Securities Transactions Reporting Regime (OTCR)

本人明白並同意，金聯證券有限公司（「金聯證券」）為了向本人提供與香港聯合交易所（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委會（證監會）的規則和規定，金聯證券可收集、儲存、處理、使用、披露及轉移與本人有關的個人資料（包括本人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 acknowledge and agree that Goldlink Securities Limited ("Goldlink") may collect, store, process, use, disclose and transfer personal data relating to me / us (including my / our CID and BCAN(s)) as required for Goldlink 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的個人資料（包括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：(i)收集、儲存、處理及使用本人的個人資料（包括客戶識別信息和券商客戶編碼），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 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：(i)收集、儲存、處理及使用本人的個人資料（包括客戶識別信息和券商客戶編碼），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 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.

本人亦同意，即使本人其後宣稱撤回同意，金聯證券在本人宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移本人的個人資料以作上述用途。

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 after such purported withdrawal of consent.

本人明白如未能向金聯證券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）執行本人的交易指示或向本人提供證券相關服務，惟出售、轉出或提取本人現有的證券持倉（如有）除外。

We understand that failure to provide Goldlink with my / our personal data or consent as described above may mean that Goldlink 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：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 Broker-to-Client Assigned Number ("BCAN") and Client Identification Data ("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."

客戶簽署　Client's Signature :

個人帳戶 Individual Account　　　　　　　　　　　　　　Corporate Account

_____　　_____

客戶姓名 Client Name :　　　　　　　　　　　　　　　Authorised Signatory Name :

日期 Date : _____　　日期 Date : _____