香港投資者識別碼制度、場外證券交易匯報制度及 FINI 平台
有關實施香港投資者識別碼制度、場外證券交易匯報制度及 FINI 平台之個人資料收集聲明
Hong Kong Investor Identification Regime (HKIDR), Over-the-counter Securities Transactions
Reporting Regime (OTCR) and Fast Interface for New Issuance (FINI)
Personal Information Collection Statement Concerning the Implementation of HKIDR, OTCR and FINI

處理個人資料作為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部份:
Processing of Personal Data as part of provide services in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK):

閣下明白並同意，創興證券有限公司（「本公司」）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，本公司可收集、儲存、處理、使用、披露及轉移與閣下有關的個人資料（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 Chong Hing Securities Limited ("our Company") 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 -

(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;

(b) 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

(c) 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.

(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：(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，本公司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.

閣下如未能向本公司提供個人資料或上述同意，可能意味著本公司不會或不能夠再（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 our Company 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."

確認及同意 Acknowledgement and Consent

本人/吾等確認已閱讀並理解創興證券有限公司之《有關實施香港投資者識別碼制度、場外證券交易匯報制度及 FINI 平台之個人資料收集聲明》的內容。通過剔選以下之方格，本人/吾等表示同意 貴公司可根據本聲明中的條款及目的而使用本人/吾等之個人資料。

I/We confirm that I/we have read and understood the content of "Personal Information Collection Statement Concerning the Implementation of HKIDR, OTCR and FINI" issued by Chong Hing Securities Limited. By ticking the box below, I/we signify my/our consent for the Company 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 貴公司將本人/吾等之個人資料用於本聲明所述之目的。
☐	I/We agree to the Company's use my/our personal data for the purposes set out in this statement. (請在方格內加"✔"號 Please tick "✔" the above box)

賬戶號碼: Account Number:			
	Customer 客戶(1)	Customer 客戶(2)	Customer 客戶(3)
客戶姓名: Customer Name:			
身分證明文件類別: Identity Document Type: (請剔選合適之方格 Please "✔" the appropriate box)	☐ 香港身份證 HKID Card ☐ 國民身分證明文件 NID* ☐ 護照 Passport	☐ 香港身份證 HKID Card ☐ 國民身分證明文件 NID* ☐ 護照 Passport	☐ 香港身份證 HKID Card ☐ 國民身分證明文件 NID* ☐ 護照 Passport
	* NID = National Identification Document		
身分證明文件號碼: Identity Document Number:			
身分證明文件的簽發國家或司法管轄區: Identity Documents Issuing Country or Jurisdiction:			
客戶簽署: Customer Signature:	SV	SV	SV
日期 Date:			

備註 Remarks:

(1) 客戶簽署必須與本公司記錄之簽署式樣相同。 Client must sign in conformity with the specimen already registered with the Company.

(2) 請預留七個工作天，以便辦理上述安排。Please allow 7 working days for processing the above arrangement

閣下亦可透過右方QR Code 登入本公司之網頁，或致電本公司之查詢熱線3768 9818，直接提交 閣下之有關確認。

You can also agree the content after login our company's website by using the QR Code on the right or via our Customer Services Hotline 3768 9818 directly.

公司專用 FOR OFFICE USE ONLY							
CHB/CHS BRANCH	Branch Code	Prepared	CHS Head Office	Checked	Input	Approved	Remarks