

**Client Consent Form – Hong Kong Investor Identification Regime and  
Over-the-counter Securities Transactions Reporting Regime**  
**客戶同意書 - 香港投資者識別碼制度及場外證券交易匯報制度**

To: Everbright Securities Investment Services (HK) Limited/  
Everbright Securities Digital Finance (HK) Limited/  
China Everbright Securities (HK) Limited  
(hereinafter referred to as “EBSI”)  
28/F, Lee Garden One, 33 Hysan Avenue, Causeway Bay, Hong Kong

致：光大證券投資服務（香港）有限公司 /  
光大證券數碼金融（香港）有限公司 /  
中國光大證券（香港）有限公司  
（下稱「光大證券國際」）  
香港銅鑼灣希慎道33號利園一期28樓

Dear Sirs,  
敬啟者：

**Processing of Personal Data under Hong Kong Investor Identification Regime (“HKIDR”) and Over-the-counter Securities Transactions Reporting Regime (“OTCR”)**

**在香港投資者識別碼制度及場外證券交易匯報制度下處理個人資料**

For the avoidance of doubt, if you have accounts with two or more of the above named companies, notwithstanding anything to the contrary contained in this Client Consent Form – Hong Kong Investor Identification Regime and Over-the-counter Securities Transactions Reporting Regime (“**Client Consent Form**”), this consent is given to all such companies and all such companies are hereinafter jointly and severally referred to as “**EBSI**”.

為免存疑，如果您於上述兩間或以上的公司擁有帳戶，儘管本客戶同意書 - 香港投資者識別碼制度及場外證券交易匯報制度（「客戶同意書」）另有規定，本客戶同意乃給予所有該等公司並且該等公司共同及各別地下稱「光大證券國際」。

Without limitation to any notification EBSI has given you or consent EBSI has 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 EBSI may collect, store, process, use, disclose and transfer personal data relating to you (including Client Identification Data (“**CID**”) and Broker-to-Client Assigned Number(s) (“**BCAN(s)**”) together with any requisite data relating to your transaction and/or account as required by the Regulatory Rules (as defined below)) as required for EBSI to provide services to you in relation to securities listed or traded on The Stock Exchange of Hong Kong (SEHK) or traded on any over-the-counter market, network or facility and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) (“**Regulatory Rules**”) in effect from time to time. Without limiting the foregoing, this includes –

不受限於光大證券國際就著因應您的帳戶或提供服務予您而處理您的個人資料而給予您的通知或向您取得的同意，您明白並同意，光大證券國際為了向您提供與在香港聯合交易所（聯交所）上市或買賣的證券或在任何場外交易市場、網絡或設施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（「監管規則」），我們可收集、儲存、處理、使用、披露及轉移與閣下有關的個人資料（包括您的客戶識別信息及券商客戶編碼）以及監管規則要求的任何與您的交易和/或帳戶相關的必要數據。在不限制以上的內容的前提下，當中包括–

- (a) disclosing and transferring your personal data (including CID and BCAN(s) together with any requisite data relating to your transaction and/or account as required by the Regulatory Rules) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;  
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您的個人資料（包括客戶識別信息及券商客戶編碼）以及監管規則要求的任何與您的交易和/或帳戶相關的必要數據；
- (b) allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s) together with any requisite data relating to your transaction and/or account as required by the Regulatory Rules) 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  
允許聯交所：(i) 收集、儲存、處理及使用您的個人資料（包括客戶識別信息及券商客戶編碼）以及監管規則要求的任何與您的交易和/或帳戶相關的必要數據，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
- (c) allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s) together with any requisite data relating to your transaction and/or account as required by the Regulatory Rules) 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.

允許證監會：(i) 收集、儲存、處理及使用您的個人資料（包括客戶識別信息及券商客戶編碼）以及監管規則要求的任何與您的交易和 / 或帳戶相關的必要數據，以使其履行法定職能，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。

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.

您亦同意，即使您其後宣稱撤回同意，我們在您宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移您的個人資料以作上述用途。

### 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 EBSI with your personal data or consent as described above may mean that EBSI 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).

您如未能向光大證券國際提供個人資料或上述同意，可能意味著光大證券國際不會或不能夠再（視情況而定）執行您的交易指示或向您提供證券相關服務，惟出售、轉出或提取您現有的證券持倉（如有）除外。

### Acknowledgement and Consent

#### 確認和同意

I/We acknowledge I/we have read and understand the content of this Client Consent Form provided by EBSI. By ticking the box below, I/we signify my/our consent for EBSI to use my/our personal data (including CID and BCAN(s) together with any requisite data relating to my/our transaction and/or account as required by the Regulatory Rules) on the terms of and for the purposes set out in this Client Consent Form.

本人 / 吾等確認本人 / 吾等已閱讀並理解由光大證券國際所發布的本客戶同意書之內容。通過勾選下面的方框，本人 / 吾等表示本人 / 吾等同意光大證券國際根據關於客戶同意書中的條款和目的使用本人 / 吾等的個人資料（包括客戶識別信息及券商客戶編碼）以及監管規則要求的任何與本人 / 吾等的交易和 / 或帳戶相關的必要數據。

I/We agree to EBSI's use of my/our personal data for the purposes set out in this Client Consent Form.

本人 / 吾等同意光大證券國際將本人 / 吾等的個人資料用於客戶同意書所述的目的。

### Applicable for Individual/Joint Account (All account holders should co-sign)

適用於個人 / 聯名帳戶（所有帳戶持有人必須簽署）：

Client Signature(s) 客戶簽署： \_\_\_\_\_

Name of Client(s) 客戶名稱： \_\_\_\_\_

Account No. 帳戶號碼<sup>^</sup>： \_\_\_\_\_

Date 日期： \_\_\_\_\_

\* The above services are provided by Everbright Securities Investment Services (HK) Limited ("EBSISHK"), Everbright Securities Digital Finance (HK) Limited ("EBSDFHK") and China Everbright Securities (HK) Limited ("CESHK"). Both EBSISHK and EBSDFHK are wholly-owned subsidiaries of China Everbright Securities International Company Limited ("CEBSI"). CESHK is a wholly-owned subsidiary of Everbright Securities International (HK) Limited, an associated company of CEBSI. All these companies are collectively referred to as "Everbright Securities International".

上述服務由光大證券投資服務（香港）有限公司（「光證投資服務香港」）、光大證券數碼金融（香港）有限公司（「光證數金香港」）及中國光大證券（香港）有限公司（「光大證券香港」）提供。光證投資服務香港及光證數金香港屬中國光大證券國際有限公司（「中國光證國際」）全資附屬公司。光大證券香港屬中國光證國際關聯公司光大證券國際（香港）有限公司的全資附屬公司。以上公司統稱「光大證券國際」。

<sup>^</sup> For internal use only as a mean to identify client's identity

僅供內部使用作為識別客戶身份之用

#### Notes 備註:

- The terms "BCAN" and "CID" used in this Client Consent Form 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.  
本客戶同意書所述的「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。
- If there is any conflict or inconsistency between the English and Chinese versions of this letter, the English version shall prevail.  
倘本函的英文版本與中文版本有任何矛盾或歧義，概以英文版本為準。