

香港投资者识别码制度及场外证券交易汇报制度 - 同意书（个人账户）（“同意书”）

Hong Kong Investor Identification Regime and the Over-the-counter Securities Transaction Reporting Regime – Consent (Individual Account) (“Consent”)

客户资料 Customer Information

客户名称 Customer Name	身份证明文件号码 ID Type & No.	客户号 CIF No.

本人明白并同意，中国农业银行股份有限公司香港分行（“**银行**”）及/或农银国际证券有限公司（“**农银国际证券**”）为了向本人提供与在香港联合交易所（“**联交所**”）上市或买卖的证券相关的服务，以及为了遵守不时生效的联交所与证券及期货事务监察委员会（“**证监会**”）的规则和规定，银行及/或农银国际证券可收集、储存、处理、使用、披露及转移与本人有关的个人资料（包括本人的客户识别信息及券商客户编码）。在不限制以上的内容的前提下，当中包括：

I acknowledge and agree that Agricultural Bank of China Limited, Hong Kong Branch (the “**Bank**”) and/or ABCI Securities Company Limited (“**ABCI Securities**”) may collect, store, process, use, disclose and transfer personal data relating to me (including my CID and BCAN(s)) as required for the Bank and/or ABCI Securities to provide services to me 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) 根据不时生效的联交所及证监会规则和规定，向联交所及/或证监会披露及转移本人的个人资料（包括客户识别信息及券商客户编码）；
disclosing and transferring my 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) 允许联交所：(i) 收集、储存、处理及使用本人的个人资料（包括客户识别信息及券商客户编码），以便监察和监管市场及执行《联交所规则》；(ii) 向香港相关监管机构和执法机构（包括但不限于证监会）披露及转移有关资料，以便他们就香港金融市场履行其法定职能；及 (iii) 为监察市场目的而使用有关资料进行分析；及
allowing SEHK to: (i) collect, store, process and use my 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) 允许证监会：(i) 收集、储存、处理及使用本人的个人资料（包括客户识别信息及券商客户编码），以便其履行法定职能，包括对香港金融市场的监管、监察及执法职能；及 (ii) 根据适用法例或监管规定向香港相关监管机构和执法机构披露及转移有关资料。
allowing the SFC to: (i) collect, store, process and use my 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，即使本人其后宣称撤回同意，银行及/或农银国际证券在本人宣称撤回同意后，仍可继续储存、处理、使用、披露或转移本人的个人资料以作上述用途。

I also agree that despite any subsequent purported withdrawal of consent by me, my personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

本人如未能向银行提供个人资料或上述同意，可能意味着银行不会或不能够再（视情况而定）执行本人的交易指示或向本人提供证券相关服务，惟出售、转出或提取本人现有的证券持仓（如有）除外。

Failure to provide the Bank with my personal data or consent as described above may mean that the Bank will not, or will no longer be able to, as the case may be, carry out my trading instructions or provide me with securities related services (other than to sell, transfer out or withdraw my existing holdings of securities, if any).

备注：本同意书所述的“券商客户编码”及“客户识别信息”具有《证券及期货事务监察委员会持牌人或注册人操守准则》第 5.6 段所界定的含义。券商客户编码指银行及/或农银国际证券根据联交所订明的格式为阁下编配的唯一识别码。客户识别信息指与获编配券商客户编码的客户有关的以下资料：

- (i) 客户的身份证明文件上所示的全名；
- (ii) 身份证明文件的签发国家或司法管辖区；
- (iii) 身份证明文件类别（按以下优先次序排第：(1)香港身份证；(2)国民身份证明文件；(3)护照(注意：并不接受往来港澳通行证、香港特别行政区签证身份书及前往港澳通行证)）；及
- (iv) 身份证明文件的身份证明文件号码。

Note: The terms “**BCAN**” and “**CID**” used herein 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. BCAN is a unique identification code assigned to the client in the format prescribed by SEHK. For the purpose of paragraph 5.6, CID shall mean the following information in relation to the client to whom a BCAN is assigned:

- (i) full name of the client as shown in the client's identity document;
- (ii) the issuing country or jurisdiction of the identity document;
- (iii) identity document type (order of priority: (1) HKID card; (2) national identification document; (3) passport (Note: Exit-entry Permit for Travelling to and from Hong Kong and Macao, HKSAR Document of Identity for Visa Purposes and Permit for Proceeding to Hong Kong and Macao are not accepted)); and
- (iv) identity document number on the identity document.

确认及同意 Acknowledgement and Consent

本人确认已经阅读及明白以上内容。（请勾选以下其中一项）：

I hereby acknowledge I have read and understood the above. (**Please tick one of the options below**):

- ☐ 本人**同意**银行根据以上条款和目的使用本人的个人资料（包括客户识别信息及券商客户编码），并确认已按以上身份证明文件排序表要求向银行提供本人正确、有效及最新的身份证明文件及客户识别信息。如本人的客户识别信息或其他资料有任何重大更改，本人承诺会立即通知银行。

I hereby give my **CONSENT** to the Bank to use my personal data (including CID and BCAN(s)) on the terms and for the purposes set out in the above, and confirm that I have provided the Bank my identity document(s) and CID which conform to the order of priority of the identity documents above and are correct, valid and up-to-date. I undertake to promptly notify the Bank of any material change of my CID or other information.

- ☐ 本人**拒绝**银行根据以上条款和目的使用本人的个人资料（包括客户识别信息及券商客户编码），并确认及同意银行将无法执行本人买入或存入证券的指示，只能执行本人沽出或提取现有证券的指示（如有）。

I **OBJECT** to the Bank to use my personal data (including CID and BCAN(s)) on the terms and for the purposes set out in the above, and acknowledge and agree that the Bank will not be able to carry out my buy orders or transfer in instructions, but only can carry out my sell orders or transfer out instructions of my existing holdings of securities (if any).

S.V.

客户签署 Customer Signature

日期 Date:

银行专用 For Bank Use Only

Receive Date:	Checked by:	Approved by:
Receive Format (Mail/E-mail):	Name:	Name:
Phone Confirmation (Y/N):	Date:	Date: