

**Appendix 2 : Consent Letter in Relation to the Personal Information Collection Statement concerning Hong Kong Investor Identification Regime (HKIDR) and OTC Securities Reporting Regime (OTCR)**

**附件二：关于香港投资者识别码及场外证券交易汇报制度的个人资料收集声明确认函**

To: China Galaxy International Securities (Hong Kong) Co., Limited ("CGIS")

致: 中国银河国际证券(香港)有限公司("银河国际证券")

Date 日期: \_\_\_\_\_

Name of Client 客户名称		Account No. 客户号码	
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1. I/we acknowledge and agree that CGIS may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our CID and BCAN(s)) as required for CGIS to provide services to me/us in relation to securities listed or traded on the SEHK and for complying with the rules and requirements of SEHK and the SFC in effect from time to time. Without limiting the foregoing, this includes –  
本人/吾等明白并同意，银河国际证券为了向本人/吾等提供与在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监会的规则和规定，银河国际证券可收集、储存、处理、使用、披露及转移与本人/吾等有关的个人资料(包括本人/吾等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—
  - a. 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;  
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/吾等的个人资料(包括客户识别信息及券商客户编码)；
  - b. 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  
允许联交所: (i) 收集、储存、处理及使用本人/吾等的个人资料(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数据进行分析；及
  - c. 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.  
允许证监会: (i) 收集、储存、处理及使用本人/吾等的个人资料(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。
2. 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/吾等亦同意，即使本人/吾等其后宣称撤回同意，银河国际证券或上述机构在本人/吾等宣称撤回同意后，仍可继续储存、处理、使用、披露或转移本人/吾等的个人资料以作上述用途。
3. Failure to provide CGIS with my/our personal data or consent as described above may mean that CGIS 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).

本人/吾等如未能向银河国际证券提供个人资料或上述同意，可能意味着银河国际证券不会或不能够再（视情况而定）执行本人/吾等的交易指示或向本人/吾等提供证券相关服务，惟出售、转出或提取本人/吾等现有的证券持仓（如有）除外。

4. For the avoidance of doubt, this consent form shall be supplemental to, but not as substitute for, the Terms and Conditions – Account Opening Agreement (“T&C”). I/we acknowledge that further details of rights in respect of personal data are set out in the Notes Relating to Personal Data Privacy Policy in the T&C.

为避免疑义，本同意表格为对《帐户条款及条件-开户合同书》的补充，而非替代。本人/吾等确认就其个人资料的权利均列于《帐户条款及条件-开户合同书》中的《有关个人资料私隐政策之附注》中。

*Note: (1) 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 SFC.*

注：(1) 本文所用“券商客户编码”及“客户识别信息”一词具有证监会持牌人或注册人士操守准则第5.6段所界定的含义。

I/We agree and hereby signify my consent for you to use my personal data on the terms of and for the purposes set out in the Notes Relating to Personal Data Privacy Policy in the T&C.

本人/吾等特此签署，确认并同意 贵公司可根据本同意表格及《帐户条款及条件》中的《有关个人资料私隐政策之附注》及其所述的目的使用本人/吾等的个人资料。

Yours faithfully, 此致

\_\_\_\_\_  
Client Signature 客户签署

Please use signature(s) filed with us 请用留存于本行之签署式样

For Official Use Only		
S.V.	Inputted By	Approved By