

有关「香港投资者识别码制度」及「场外证券交易汇报制度」之 个人资料收集声明

Personal Information Collection Statement concerning Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR)

账户名称 Account Name		帐户号码 Account No.	
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客户（等）明白并同意，平安证券(香港)有限公司（「平安证券(香港)」）为了向客户（等）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，平安证券(香港)可收集、储存、处理、使用、披露及转移与客户（等）有关的个人资料（包括客户（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 -

The client(s) acknowledges and agrees that Ping An Securities (Hong Kong) Company Limited (Ping An Securities (Hong Kong)) may collect, store, process, use, disclose and transfer personal data relating to the client(s) (including the Client's CID and BCAN(s)) as required for Ping An Securities (Hong Kong) to provide services to the client(s) 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客户（等）的个人资料（包括客户识别信息及券商客户编码）；

(a) disclosing and transferring the client's 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、处理及使用客户（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

(b) allowing SEHK to: (i) collect, store, process and use the Client's 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、处理及使用客户（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。

(c) allowing the SFC to: (i) collect, store, process and use the Client's 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.

客户（等）亦同意，即使客户（等）其后宣称撤回同意，平安证券(香港)在客户（等）宣称撤回同意后，仍可继续储存、处理、使用、披露或转移客户（等）的个人资料以作上述用途。

The client(s) also agree that despite any subsequent purported withdrawal of consent by the client(s), the Client's personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

未能提供个人资料或同意的后果

Consequences of failing to provide Personal Data or Consent

客户（等）明白如未能向平安证券(香港)提供个人资料或上述同意，平安证券(香港)将只能执行客户（等）证券账户现时持有的香港上市证券的卖出指示或交易，不能执行客户（等）的香港上市证券买入指令或交易；及平安证券(香港)将只能执行客户（等）证券账户现时持有的上市证券的转出股份及提取实体股票证书指示，不能执行客户（等）的香港上市证券股份转入或将香港上市证券实物股票证书存入客户（等）的账户。

The client(s) acknowledges that failure to provide Ping An Securities (Hong Kong) with the Client's personal data or consent, Ping An Securities (Hong Kong) will not, or no longer be able to, as the case may be, carry out the Client's buy instructions or provide the client(s) with securities related services on securities listed or traded on SEHK, other than to sell or carry out instructions on the Client's existing holdings of securities; and Ping An Securities (Hong Kong) will not, or no longer be able to, as the case may be, accept a transfer of Hong Kong shares into the Client's account(s) or a deposit of physical certificates of Hong Kong shares into the Client's account(s), other than to transfer shares out of the Client's account(s) or withdraw physical certificates of shares out of the Client's account(s).

确认及同意 Acknowledgement and Consent	
<input type="checkbox"/>	本人 / 我们同意平安证券(香港)根据本个人资料收集声明所述的目的使用本人 / 我们的个人资料。 I / We agree to Ping An Securities (Hong Kong)'s use of my personal data for the purposes set out in the Personal Information Collection Statement.
<input type="checkbox"/>	本人 / 我们拒绝平安证券(香港)根据本个人资料收集声明所述的目的使用本人 / 我们的个人资料，并明白未能提供个人资料或同意的后果。 I / We object to Ping An Securities (Hong Kong)'s use of my personal data for the purposes set out in the Personal Information Collection Statement, and acknowledge the consequences of failing to provide Personal Data or Consent.

S.V

客户签署 Client's Signature

日期 Date

仅供职员填写 For Internal Use Only

处理 Handled by :	输入 Inputted by :	核实 Checked by :
<hr/>	<hr/>	<hr/>
名称 Name : 部门 Division: 客服 C.S. 日期 Date : <input type="checkbox"/> 登记邮箱 Registered Email	名称 Name : 部门 Division: 客服 C.S. 日期 Date :	名称 Name : 部门 Division: 客服 C.S. 日期 Date :