



有關香港投資者識別碼制度及場外證券交易匯報制度的個人資料收集聲明

除非下文另有界定，本有關香港投資者識別碼制度及場外證券交易匯報制度的個人資料收集聲明（「本個人資料收集聲明」）所用詞彙與《證券及期貨事務監察委員會持牌人或註冊人操守準則》所規定的定義具有相同涵義。若本個人資料收集聲明的英文本與中文本在解釋或意義方面有任何歧義，以英文版本為準。

處理及收集個人資料的目的

閣下/貴公司確認並同意我們為閣下/貴公司提供透過證券交易服務時，我們將須：

- (i) 確保唯一的識別碼（即「券商客戶編碼」）已編配給已經或擬就在香港聯合交易所（聯交所）的交易系統上市或買賣的證券（惟在聯交所碎股／特別買賣單位市場上買賣的碎股除外）發出(i)自動對盤交易指令或(ii)須根據聯交所規則向聯交所匯報的非自動對盤交易的客戶；
- (ii) 確保已向每名相關客戶取得最新的客戶識別信息，以及在指定時間或之前，連同客戶的券商客戶編碼一併提交予聯交所維護的數據資料庫；
- (iii) 確保相關客戶的券商客戶編碼已包括在每項自動對盤交易指令及非自動對盤交易指令的資料，以及所有向聯交所作出的非自動對盤交易匯報之中；
- (iv) 就有關在聯交所上市的普通股及房地產投資基金（就場外證券交易匯報制度而言，統稱為「股份」）的以下活動，向證監會作出匯報：
 - a. 我們為某項可徵收香港印花稅且沒有被聯交所記錄為自動對盤交易指令或無須向聯交所匯報為非自動對盤交易的交易進行股份轉移時，惟以下情況除外：(i)該項交易獲稅務局給予印花稅寬免（不論是全數或部分數額），或(ii)股份轉移乃根據結構性產品或衍生工具的條款或因將預託證券轉換為股份（反之亦然）而進行；或
 - b. 當實體股票證書被存放於或提取自我們時。

不限於任何我們已向閣下/貴公司發出的提示或我們已收到閣下/貴公司同意就有關閣下/貴公司戶口或我們提供的服務而處理閣下/貴公司的個人資料，閣下/貴公司確認並同意我們為閣下/貴公司提供證券交易服務時可能須要收集、儲存、使用、披露及轉移有關閣下/貴公司的個人資料，包括：

- (i) 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客戶的個人資料（包括客戶識別信息及券商客戶編碼）；
- (ii) 允許聯交所：(i)收集、儲存、處理及使用其個人資料（包括客戶識別信息和券商客戶編碼），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；
- (iii) 允許證監會：(i)收集、儲存、處理及使用其個人資料（包括客戶識別信息和券商客戶編碼），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；及
- (iv) 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。

閣下亦同意，即使閣下其後宣稱撤回同意，我們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。

未能提供個人資料或同意的後果

在香港投資者識別碼制度下，如閣下/貴公司未能提供上述個人資料或同意給我們，可導致我們不能向聯交所提交該客戶的任何券商客戶編碼或客戶識別信息，以及只能就該客戶現時持有的上市證券執行賣出指令或交易（而非買入指令或交易）。同樣地，在場外證券交易匯報制度下，如閣下/貴公司未能提供上述個人資料或同意給我們，可導致我們不能向證監會提交該客戶的任何客戶識別信息，並只能從該客戶的帳戶轉出股份及提取實體股票證書，而不能將股份轉入或將實體股票證書存入該客戶的帳戶。

確認並同意

本人/本公司確認本人/本公司已閱讀及清楚本個人資料收集聲明。在以下格上勾選，本人/本公司表示同意或拒絕信環球大通證券有限公司（「環球大通證券」）及其附屬公司根據本個人資料收集聲明所述的條款及目的使用本人/本公司的個人資料。

- 本人/本公司**同意**環球大通證券根據本個人資料收集聲明所述的目的使用本人/本公司的個人資料。
- 本人/本公司**拒絕**環球大通證券根據本個人資料收集聲明所述的目的使用本人/本公司的個人資料，並確認環球大通證券將不能向聯交所提交該客戶的任何券商客戶編碼或客戶識別信息，以及只能就該客戶現時持有的上市證券執行賣出指令或交易（而非買入指令或交易）及不能向證監會提交該客戶的任何客戶識別信息，並只能從該客戶的帳戶轉出股份及提取實體股票證書，而不能將股份轉入或將實體股票證書存入該客戶的帳戶。

客戶簽署 / 公司蓋章

日期

客戶姓名: _____

帳戶編號: _____



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

Unless otherwise defined below, terms defined in the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission shall have the same meaning in this Personal Information Collection Statement concerning Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR). In the event of any difference in interpretation or meaning between the English version and Chinese version of this Personal Information Collection Statement, the English version shall prevail.

Processing and purpose of use of personal data

You acknowledge and agree that in providing our securities trading service to you, we will be required to:

- (i) ensure that a unique identification code, namely the "Broker-to-Client Assigned Number" (BCAN), be assigned to you who have placed or propose to place (i) an on-exchange order or (ii) an off-exchange trade reportable to the Stock Exchange of Hong Kong (SEHK) under its rules, in securities listed or traded on SEHK's trading system (except for odd lots traded on SEHK's odd lot/special lot market);
- (ii) ensure that up-to-date client identification data (CID) has been collected from you and is submitted along with your BCAN to a data repository to be maintained by SEHK by a prescribed time;
- (iii) ensure that your BCAN has been included in the order information for each on-exchange order as well as each off-exchange order and included in all reporting of off-exchange trades to SEHK; and
- (iv) report to the SFC the following activities relating to ordinary shares and real estate investment trusts (collectively referred to as "shares" for the purpose of the OTCR) listed on SEHK:
 - a. when making a transfer of shares in connection with a transaction not recorded by SEHK as an on-exchange order or required to be reported to SEHK as an off-exchange trade in respect of which stamp duty is chargeable in Hong Kong, except where (i) the transaction is granted stamp duty relief (whether in full or in part) from the Inland Revenue Department, or (ii) the transfer of shares is made in accordance with the terms of a structured product or a derivative, or for the conversion of a depository receipt into shares or vice versa; and
 - b. when there is a deposit to or withdrawal from us of physical share certificates.

Without limitation to any notification we have given you or consent we have 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 we may collect, store, use, disclose and transfer personal data relating to you as required as part of our securities trading service, including as follows:

- (a) disclosure and transfer of the client's personal data (including CID and BCANs) to SEHK and/ or the SFC in accordance with the rules and requirements of SEHK and SFC in effect from time to time;
- (b) allowing SEHK to: (i) collect, store, process and use their personal data (including CID and BCANs) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; (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;
- (c) allowing the SFC to: (i) collect, store, process and use their personal data (including CID and BCANs) 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; and
- (d) 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.

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.

Consequences of failing to provide Personal Data or Consent

Under the HKIDR, failure to provide us with your personal data or consent as described above may mean that we cannot submit any BCAN or CID of yours to SEHK and can only effect sell orders or trades in respect of existing holdings of a listed security (but not buy orders or trades) for you. Similarly, under OTCR, failure to provide us with your personal data or consent as described above may mean that, we cannot submit any CID of yours to the SFC. We can only effect transfers of shares out of and withdrawals of physical share certificates from your account, but not transfers of shares or deposits of physical share certificates into that your account.

Acknowledgement and Consent

I/We acknowledge I/we have read and understand the content of this Personal Information Collection Statement. By ticking the box below, I/we signify my/our consent or objection for Global Mastermind Securities Limited ("GMSL") and its subsidiaries to use my/our personal data on the terms of and for the purposes set out in this Personal Information Collection Statement.

- I/We **agree** GMSL to use my/our personal data for the purposes set out in this Personal Information Collection Statement.
- I/We **object** GMSL to use my/our personal data for the purposes set out in this Personal Information Collection Statement and acknowledge that GMSL can only effect sell orders or trades in respect of existing holdings of a listed security (but not buy orders or trades) for you and can only effect transfers of shares out of and withdrawals of physical share certificates from your account, but not transfers of shares or deposits of physical share certificates into that your account.

Client's Signature / Company Chop

Date

Name of Client: _____

Account No.: _____