



SDG Securities (HK) Limited (CE Number: BMB958) 山金證券(香港)有限公司(中央編號: BMB958)  
Personal Information Collection Statement Concerning Hong Kong Identification Regime and Over-the-counter Securities Transactions  
Reporting Regime 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

Client Information 客戶資料	
Account Name 帳戶名稱	Account Number 帳戶號碼

(“Client”) (“客戶”)

I/We acknowledge and agree that SDG Securities (HK) Limited (“SDGS”) may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our CID<sup>1</sup> and BCAN(s)<sup>2</sup>) as required for SDGS to provide services to me/us in relation to securities listed or traded on The Stock Exchange of Hong Kong Limited (“SEHK”) and for complying with the rules and requirements of the SEHK and the Securities and Futures Commission (“SFC”) in effect from time to time. Without limiting the foregoing, this includes: 本人/吾等明白並同意·山金證券(香港)有限公司(「山金證券」)為了向本人/吾等提供與在香港聯合交易所有限公司(「聯交所」)上市或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·山金證券可收集、儲存、處理、使用、披露及轉移與本人/吾等有關的個人資料(包括本人/吾等的客戶識別信息及券商客戶編碼)。在不限制以上的內容的前提下·當中包括:

- disclosing and transferring my/our personal data (including CID and BCAN(s)) to the SEHK and/or the SFC in accordance with the rules and requirements of the 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本人/吾等的個人資料(包括客戶識別信息及券商客戶編碼);
- allowing the 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 the 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
- 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. 允許證監會: (i)收集、儲存、處理及使用本人/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。

I/we also agree that despite any subsequent purported withdrawal of consent to SDGS, 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/吾等其後宣稱撤回同意·山金證券在本人/吾等宣稱撤回同意後·仍可繼續儲存、處理、使用、披露或轉移本人/吾等的個人資料以作上述用途。

Failure to provide SDGS with my/our personal data or consent as described above may mean that SDGS 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/吾等如未能向山金證券提供個人資料或上述同意·可能意味著山金證券不會或不能夠再(視情況而定)執行本人/吾等的交易指示或向本人/吾等提供證券相關服務·惟出售、轉出或提取本人/吾等現有的證券持倉(如有)除外。

<sup>1</sup> “CID” means client identification data, i.e. the following information in relation to a client to whom a BCAN is assigned: (i) the full name of the client as shown in the client's identity document; (ii) the issuing country or jurisdiction of the identity document; (iii) the identity document type; and (iv) the identity document number. 「客戶識別信息」指與獲編配券商客戶編碼的客戶有關的以下資料: (i)客戶的身份證明文件上所示的全名; (ii)身份證明文件的簽發國家或司法管轄區; (iii)身份證明文件類別; 及(iv)身份證明文件號碼。

<sup>2</sup> “BCAN” means Broker-to-Client Assigned Number, being a unique identification code in the format prescribed by the SEHK, generated by a relevant licensed or registered person in accordance with the SEHK's requirements. 「券商客戶編碼」指一個符合聯交所訂明的格式及由相關持牌人或註冊人按照聯交所的規定產生的唯一識別碼。



**Client Acknowledgement and Consent 客戶確認及同意**

I/We acknowledge that 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 for SDGS to use my/our personal data on the terms of and for the purposes set out in this Personal Information Collection Statement. 本人 / 吾等確認已經閱讀及了解本個人資料收集聲明的內容。勾選以下方格後，即代表本人 / 吾等同意山金證券根據本個人資料收集聲明所列之條款及目的使用本人 / 吾等之個人資料。

I/We agree to the use of my/our personal data by SDGS for the purposes set out in this Personal Information Collection Statement. 本人 / 吾等同意山金證券根據本個人資料收集聲明所列之目的使用本人 / 吾等之個人資料。

**Signed by Client 客戶簽署**

**Name 姓名**

**Date (dd/mm/yyyy) 日期 (日 / 月 / 年)**

**For Internal Use Only 內部專用**

**Approval 審批**

**Checked by Licensed Person**

持牌人檢查

Date: 日期 :

**Data Inputted by Settlement Officer**

結算主任輸入資料

Date: 日期 :

**Inputted Data Checked by Settlement Officer**

結算主任檢查已輸入資料

Date: 日期 :

**Approved by Responsible Officer**

負責人員審批

Date: 日期 :

**Approved by Chief Operating Officer**

營運總監審批

Date: 日期 :