

Application Form for China Stock Connect Northbound Trading Service  
滬深港通北向交易服務申請表格

賬戶名稱: \_\_\_\_\_

賬戶號碼: \_\_\_\_\_

Important Statement of Investor and Participant Eligibility for Northbound Trading  
under Shanghai Connect and Shenzhen Connect

關於在滬港通及深港通下北向交易的投資者及合資格參與者的重要聲明

Except ChiNext Stocks of Shenzhen Stock Exchange (the "SZSE") and Science and Technology Innovation Board (the "STAR") stocks of Shanghai Stock Exchange (the "SSE") which may only be traded by institutional professional investors, Hong Kong and overseas investors are allowed to trade any Connect Securities through Shanghai and Shenzhen Connect <sup>Note 1</sup>.

除深圳證券交易所（“深交所”）的創業板股票（“ChiNext”）和上海證券交易所（“上交所”）科創板股票（“STAR”）僅限於機構專業投資者交易之外，香港及海外投資者獲許可通過滬港通及深港通進行該機制下的任何股票的交易 <sup>註釋1</sup>。

Investors eligible to trade shares that listed on the STAR Market of SSE under Northbound trading are limited to institutional professional investors <sup>Note 2</sup>. Investors eligible to trade shares that are listed on the ChiNext Board of SZSE under Northbound trading are limited to institutional professional investors <sup>Note 3</sup>.

合資格在北向交易下的上交所 STAR 交易上市股票的投資者僅限於機構專業投資者 <sup>註釋2</sup>。合資格在北向交易下的深交所 ChiNext 交易上市股票的投資者僅限於機構專業投資者 <sup>註釋3</sup>。

If there is any conflict between the English and Chinese version of this statement, the English version shall prevail.  
此聲明中英文版本如有任何歧義，概以英文版本為準。

*Note 1: Shanghai Connect and Shenzhen Connect Information Book for Investors published by The Stock Exchanges of Hong Kong Limited (version date: 4 January 2021), page 3.*

註釋1: 香港聯合交易所有限公司 2021 年 1 月 4 日發布的《滬港通及深港通投資者信息手冊》(英文版), 第 3 頁。

*Note 2: SH-HK Stock Connect Frequent Asked Questions published by The Stock Exchanges of Hong Kong Limited (version date: 4 January 2021), page 4.*

註釋2: 香港聯合交易所有限公司 2021 年 1 月 4 日發布的《滬港通及深港通投資者信息手冊》(英文版), 第 4 頁。

*Note 3: SH-HK Stock Connect Frequent Asked Questions published by The Stock Exchanges of Hong Kong Limited (version date: 4 January 2021), page 6.*

註釋3: 香港聯合交易所有限公司 2021 年 1 月 4 日發布的《滬港通及深港通常見問題》(英文版), 第 6 頁。

## China Stock Connect Northbound Trading - Personal Information Collection Statement

### 滬深港通北向交易服務 - 個人資料收集聲明

#### Processing of Personal Data as part of the China-Hong Kong Connect Trading Services

##### 中港通交易服務之個人資料處理

You acknowledge and agree that in providing our China-Hong Kong Connect Trading Services to you, SPDB International Securities Limited ("SPDBI") will be required to:

閣下確認並同意，在向閣下提供中港通交易服務的過程中，浦銀國際證券將被要求：

- (i) tag each of your orders submitted to the China Stock Connect System ("CSC") with a Broker-to-Client Assigned Number ("BCAN") that is unique to you or the BCAN that is assigned to your joint account (if any); and

將閣下遞交到中華通訂單傳遞系統("CSC")的每個買賣盤，附加屬於閣下的券商客戶編碼或附加編派給閣下聯名 賬戶(如有)的券商客戶編碼(簡稱"BCAN"); 以及

- (ii) provide to The Stock Exchange of Hong Kong Limited ("SEHK") your assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to you as the SEHK may request from time to time under its rules.

向香港聯合交易所有限公司(簡稱"聯交所")提供編派給閣下的 BCAN 及聯交所根據其規則不時要求提供屬於閣下的識別信息 ("客戶識別信息"或"CID")。

Without limitation to any notification SPDBI have given you or consent SPDBI 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 SPDBI may collect, store, use, disclose and transfer personal data relating to you as required as part of our China-Hong Kong Connect Trading Services, including as follows:

閣下確認並同意，浦銀國際證券可基於提供中港通交易服務的需要，收集、儲存、使用、披露和轉移閣下的個人資料，包括作出以下用途(並不受限於浦銀國際證券就處理閣下的個人資料而發出的任何通知，或浦銀國際證券因應證券戶口及所 提供的服務而獲得的閣下個人資料處理的有關同意):

- a) to disclose and transfer your BCAN and CID to the SEHK and the relevant SEHK Subsidiaries from time to time, including by indicating your BCAN when inputting a China Connect Order into the CSC, which will be further routed to the relevant China Connect Market Operator on a real-time basis;

不時向聯交所及相關的聯交所附屬公司披露和轉移閣下的 BCAN 和 CID，包括在閣下遞交至 CSC 的中華通買賣盤中，附加上閣下的 BCAN，且將實時傳遞至相關的中華通市場營運者；

- b) to allow each of the SEHK and the relevant SEHK Subsidiaries to: (i) collect, use and store your BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via Hong Kong Exchanges and Clearing Limited) for market surveillance and monitoring purposes and enforcement of the SEHK's rules; (ii) transfer such information to the relevant China Connect Market Operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;

允許聯交所及相關的聯交所附屬公司(i)為市場監控、監察及執行聯交所規則的目的，收集、使用和儲存閣下的 BCAN、CID 以及由相關中華通結算所提供的任何經綜合、核實和配對的 BCAN 和 CID 資料(相關資料的儲存將由上述任何一間機構或通過香港交易及結算有限公司進行); (ii)為下述(c)及(d)段所述目的，不

時將上述資料轉移至相關中華通市場營運者(直接或通過相關中華通結算所轉移); 以及(iii)向有關香港監管機構和執法機構披露以上資料, 以協助履行其在香港金融市場的法定職能;

- c) to allow the relevant China Connect Clearing House to: (i) collect, use and store your BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator, the SEHK and the relevant SEHK Subsidiary; (ii) use your BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and

允許相關的中華通結算所(i)收集、使用和儲存閣下的 BCAN 和 CID, 以便綜合、核實 BCAN 和 CID 和將 BCAN 和 CID 與其本身的投資者身份數據庫進行配對, 並向有關中華通市場營運者、聯交所及相關的聯交所附屬公司提供該等經綜合、核實和配對的 BCAN 和 CID 資料; (ii)使用閣下的 BCAN 和 CID 以履行其管理證券賬戶的監管職能; 以及(iii)向有管轄權的中國內地監管機構和執法機構披露以上資料, 以協助履行其對內地金融市場的監管、監察和執法職能; 以及

- d) to allow the relevant China Connect Market Operator to: (i) collect, use and store your BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets.

允許相關的中華通市場營運者(i)收集、使用及儲存閣下的 BCAN 和 CID, 以協助其監控和監察通過使用中華通服務在相關中華通市場進行的證券交易情況, 和協助其執行相關中華通市場營運者的規則; 以及(ii)向有關中國內地監管機構和執法機構披露以上資料, 以協助履行其對內地金融市場的監管、監察和執法職能。

By instructing SPDBI in respect of any transaction relating to China Connect Securities, you acknowledge and agree that SPDBI may use your personal data for the purposes of complying with the requirements of the SEHK and its rules as in force from time to time in connection with the China-Hong Kong Connect Trading Services. You also acknowledge that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.

通過向浦銀國際證券發出與滬深港通證券有關的任何交易指示, 閣下確認並同意浦銀國際證券可能會不時使用閣下的個人資料, 以確保遵守聯交所就中港通交易服務不時發布生效的要求及規則。閣下也確認並同意, 儘管閣下日後要求撤回閣下的授權閣下的個人資料(無論是在撤回同意之前還是之後)仍可能會因上述目的而繼續被儲存、使用、披露、轉移或作其他處理。

### **Consequences of failing to provide Personal Data or Consent**

#### **未能提供個人資料或同意的後果**

Failure to provide us with your personal data or consent as described above may mean that SPDBI will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with our China-Hong Kong Connect Trading Services.

未能向浦銀國際證券提供閣下的個人資料或上述授權, 這可能代表著浦銀國際證券將不會或不再能夠執行閣下的交易指示 或向閣下提供中港通交易服務

## Acknowledgement and Consent 確認和同意

By signing below, I hereby acknowledge that I have completely read and fully understand the contents of:  
 經下文簽署，本人在此確認本人已完整審閱以下文件並完全理解有關內容：

1. this application form 本申請表格;
2. the statement of Investor and Participant Eligibility for Northbound Trading under Shanghai Connect and Shenzhen Connect 關於在滬港通及深港通下北向交易的投資者及合資格參與者的重要聲明;
3. China Stock Connect Northbound Trading – Personal Information Collection Statement 滬深港通北向交易服務-個人資料收集聲明;
4. Client Agreement entered with SPDB International Securities Limited, especially the relevant risk disclosures stated therein 與浦銀國際證券有限公司簽訂的《客戶協議》，特別是其中有關風險披露的聲明。  
<http://www.spdbi.com/getfile/index/action/images/name/5eb29734bcc5f.pdf>

I agree to the terms and conditions stated in all the documents set out above. I signify my consent for SPDB International Securities Limited to use my personal data on the terms and for the purpose set out in the Personal Information Collection Statement. 本人同意上述所有文件的條款與條件。本人同意浦銀國際證券有限公司根據個人資料收集聲明中的條款和目的使用本人的個人資料。

If there is any conflict between the English and Chinese version of this acknowledgement, the English version shall prevail. 此確認的中英文版本如有任何歧義，概以英文版本為準。

\_\_\_\_\_  
 Signature 簽署:

\_\_\_\_\_  
 Name 姓名:

\_\_\_\_\_  
 Date 日期:

僅供內部使用 For Internal Use Only			
非互聯網經紀佣金率 Non-Internet Brokerage rate (%):		互聯網經紀佣金率 Internet Brokerage rate (%):	
Sales Signature 銷售員簽署	Approved by 審批人	Input by 經辦人	Checked by 校對人
Name 姓名:	Name 姓名:	Name 姓名:	Name 姓名:
Date 日期:	Date 日期:	Date 日期:	Date 日期: