高鉦証券有限公司
AFG SECURITIES LIMITED
香港中環干諾道中61號福興大廈17樓B室
為證券及期貨事務監察委員會（"證監會"）註冊為持牌法團（CE編號 BIH335）
Room B, 17/F, Fortune House, 61 Connaught Road Central, Central, Hong Kong
Registered with Securities and Future Commission ("SFC") as a licensed corporation (CE No. BIH335)

有關香港投資者識別碼制度及場外交易匯報制度個人資料收集聲明

“閣下明白並同意，我們，高鉦証券有限公司為了向閣下提供與在香港聯合交易所（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，我們可收集、儲存、處理、使用、披露及轉移與閣下有關的個人資料（包括閣下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—

A. 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閣下的個人資料（包括客戶識別信息及券商客戶編碼）；
B. 允許聯交所：(i) 收集、儲存、處理及使用閣下的個人資料（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
C. 允許證監會：(i)收集、儲存、處理及使用閣下的個人資料（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。

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。

閣下如未能向我們提供個人資料或上述同意，可能意味著我們不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

備註：本條文所述的“券商客戶編碼”及“客戶識別信息”具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第 5.6 段所界定的含義。”

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確認和同意

本人/吾等確認持牌人及/或註冊人已向本人說明取得同意的目的，不提供同意的後果及提供該項同意的影響。本人/吾等確認本人/吾等已閱讀並了解高鉦証券有限公司的香港投資者識別碼制度及場外交易匯報制度個人資料收集聲明的內容。

本人/吾等表示本人/吾等同意高鉦証券有限公司根據關於香港投資者識別碼制度及場外交易匯報制度個人資料收集聲明中的條款和目的使用本人/吾等的個人資料。

客戶簽署： _____
客戶姓名： _____
戶口號碼： _____
日期： _____

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

"You acknowledge and agree that we, AFG Securities Limited, may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(s)) as required for us to provide services to you 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. disclosing and transferring your 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. (b) allowing SEHK to: (i) collect, store, process and use your 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. allowing the SFC to: (i) collect, store, process and use your 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.

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.

Failure to provide us with your personal data or consent as described above may mean that we will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

Note: The terms "BCAN" and "CID" used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission."

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Acknowledgement and Consent

I/We hereby confirm that a licensed and/or registered person have explained to me the purpose of obtaining consent, the consequence of failure to provide consent and the implications of providing the consent.

I/we hereby acknowledge that I/we have read and understood the content of the Personal Information Collection Statement concerning Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR) as mentioned above.

I/We signify me/our consent for the AFG Securities Limited to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement concerning HKIDR and OTCR.

Signature: _____
Account Name: _____
Account No.: _____
Date: _____