本地證券－客戶同意書
Local Securities – Client Consent Form

致：恒生銀行有限公司（「銀行」）
To: Hang Seng Bank Limited ("the Bank")

重要事項 Important Information

銀行必須取得閣下的明示同意，以根據不時生效的監管規則和規定處理及披露閣下的個人資料(包括向香港聯合交易所及/或證券及期貨事務監察委員會及/或香港中央結算有限公司提供閣下的客戶識別信息及券商客戶編碼)。相關制度包括但不限於：
The Bank is required to obtain express consent from you on the processing and disclosure of your personal data (including your Client Identification Data ("CID") and Broker-Client Assigned Number ("BCAN") to Stock Exchange of Hong Kong, and/or Securities and Futures Commission, and/or Hong Kong Securities Clearing Company Limited) for complying with related regulatory rules and requirements including but not limited to:

- 香港投資者識別碼制度
  Hong Kong Investor Identification Regime ("HKIDR")

- 場外證券交易匯報制度
  Over-the-counter Securities Transactions Reporting Regime ("OTCR")

- FINI (Fast Interface for New Issuance)
  Fast Interface for New Issuance ("FINI")

否則，銀行將無法為閣下執行某些交易指令或向閣下提供部份與在聯交所上市或買賣的證券相關服務。
Otherwise, the Bank will not be able to carry out some of your trading instructions or provide some services to you in relation to securities listed or traded on SEHK.

如欲了解更多有關銀行就香港投資者識別碼制度及場外證券交易匯報制度的安排，請瀏覽hangseng.com/investor-id。有關FINI平台，請瀏覽香港交易所網站。
For details of the Bank's arrangement regarding HKIDR and OTCR, please visit hangseng.com/investor-id. For more details about FINI, please visit HKEX's website.

甲部 Part A – 客戶同意 Client Consent

請用正楷填寫，並在適當方格內加上"√"以提供你的明示同意。如屬聯名戶口，所有戶口持有人必須分別提供同意及確認已按證監會要求的客戶識別信息優先次序而提供的最新個人資料，銀行才會送出所有戶口持有人的個人資料至聯交所作登記。
Please complete in BLOCK LETTERS and "√" where appropriate to provide your express consent. For joint name account, all account holders must separately provide consent and the most up-to-date personal data in the priority for CID specified by SFC. The Bank will then transmit the personal data of all account holders to SEHK for registration.

客戶個人資料的處理 Processing of Client Personal Data
(請於以下二者選其一 Please choose either one from below)

a. ☐ 本人確認已收到、閱讀並理解銀行的《個人資料收集補充聲明(本地證券)》的內容。本人**同意**銀行可根據銀行的《個人資料收集補充聲明(本地證券)》中的條款和目的而處理及披露本人的個人資料。本人承諾如本人的個人資料於日後有所變更(如身份證明文件已過期)，本人將立即以書面形式通知及提供最新的個人資料予銀行。
I acknowledge I have received, read and understood the content of the Bank's Supplemental Personal Information Collection Statement (Local Securities). I **signify my consent** for the Bank to process and disclose my personal data on the terms of and for the purposes set out in the Bank's Supplemental Personal Information Collection Statement (Local Securities). I undertake to immediately notify in writing and provide the latest personal data to the Bank should there be any change in my personal data (e.g. identity document is expired) at any future time.

b. ☐ 本人**撤回**給銀行根據銀行的《個人資料收集補充聲明(本地證券)》中的條款和目的而處理及披露本人的個人資料的同意，及明白銀行將無法執行本人的某些交易指令或向本人提供部份與在聯交所上市或買賣的證券相關服務。例如在香港投資者識別碼制度下，本人於撤回同意後的下個港股交易日起只可出售、轉出或提取本人現有的本地證券持倉(如有)，而任何仍未執行的本地證券買入指示將會被取消。而在FINI生效後，本人於撤回同意後將不能認購新股，但已遞交的新股認購申請將不會受到影響或自動取消。如本人不希望進行有關認購申請，則需自行取消該認購申請(如可取消)。本人接受該撤回的後果。
I **WITHDRAW** my consent for the Bank to process and disclose my personal data on the terms of and for the purposes set out in the Bank's Supplemental Personal Information Collection Statement (Local Securities), and understand that the Bank will not be able to carry out some of my trading instructions or provide some services to me in relation to securities listed or traded on SEHK. For example, under HKIDR, starting from the next Hong Kong trading day after my consent withdrawal, I am only eligible to sell, transfer out or withdraw my existing holdings of local securities (if any). If there is any outstanding buy order on local securities, it will be cancelled. When FINI is effective, I cannot subscribe for IPO after my consent withdrawal, but IPO subscription application which has been submitted before the consent withdrawal will not be impacted nor automatically cancelled. I need to cancel it separately by myself (if it is cancellable) in case I do not wish to proceed with such application. I accept the consequences of such withdrawal.

乙部 Part B – 客戶個人資料 Client Personal Data	
身份證明文件類別 Identity Document Type	請按以下證監會要求的客戶識別信息優先次序提供身份證明文件[1,2]： Please provide identity document in the below order of priority for CID as specified by the SFC[1,2]: ☐ (1) 香港身份證 　　 Hong Kong Identity Card ☐ (2) 國民身份證明文件 　　 National Identification Document ☐ (3) 護照 　　 Passport 不接受往來港澳通行證及前往港澳通行證 Exit-entry Permit for Travelling to and from Hong Kong and Macao and Permit for Proceeding to Hong Kong and Macao are not accepted
身份證明文件號碼 Identity Document No.	
身份證明文件的簽發司法管轄區[3] Identity Document Issuing Jurisdiction[3]	
身份證明文件有效期(日/月/年) Identity Document Date of Expiry (DD/MM/YY)	_____ (請於以下三者選其一 Please choose one from below) ☐ 身份證明文件沒有有效期 　 Identity Document has NO date of expiry ☐ 身份證明文件未到期。如本人的個人資料於日後有所變更(如身份證明文件已過期)，本人將立即以書面形式通知及提供最新的個人資料予銀行。 　 Identity Document is not expired. I will immediately notify in writing and provide the latest personal data to the Bank should there be any change in my personal data (e.g. identity document is expired) at any future time. ☐ 身份證明文件已到期。本人確認在證監會要求的客戶識別信息優先次序下，在需要提供的身份證明文件類別項下沒有更新的身份證明文件，故需要以此身份證明文件作為客戶識別信息。 　 Identity Document has expired. I confirm I do not have a newer identity document in the identity document type to be reported under the order of priority for CID as specified by the SFC. I need to use this identity document as Client Identification Data.
身份證明文件上顯示的英文姓名[4,5] Name in English as shown on the ID [4,5]	_____　_____　_____ 姓 Surname　　　　名 Given Name　　前名/別名 Former/Other Name
身份證明文件上顯示的中文姓名[4,5] Name in Chinese as shown on the ID [4,5]	

註：
Notes:

1. 如你<u>沒有</u>按監證會要求的客戶識別信息優先次序提供最新的個人資料給銀行，銀行將無法執行你的某些交易指令或向你提供部份與在聯交所上市或買賣的證券相關的服務。
   If you <u>do not</u> provide the most up-to-date personal data in the priority for Client Identification Data specified by SFC to us, we will not be able to carry out some of your trading instructions or provide some services to you in relation to securities listed or traded on SEHK.

2. 例如:你之前提供了護照予銀行作為你的身份證明文件，而你現時持有有效國民身份證明文件，你現必須提供你的國民身份證明文件。
   For example: If you previously provided passport as your identification document and are now holding a valid national identification document, you should provide your national identification document to us now.

3. 如你所呈交的身份證明文件的國籍與銀行紀錄不同，你需要呈交OSCR5表格以更改客戶的國籍。
   If the nationality on your submitted Identity document is different from the Bank's record, you need to submit OSCR5 Form to change your nationality.

4. 如客戶身份證明文件同時顯示中英文姓名，請提供中文姓名及英文姓名。
   If both Chinese and English names are shown in customer's Identity document, please fill in <u>both</u> Chinese and English names.

乙部 Part B – 客戶個人資料(續) Client Personal Data (Cont.)

5. 如客戶的國民身份證明文件上的姓名並非完整地以中文(繁體或簡體字)或英文(26個英文字母且不含任何變音符號、重音符號或其他符號)顯示,請填寫客戶護照上以英文字母顯示的姓名,並提供客戶的國民身份證明文件及護照副本。請特別留意,在此情況下,除客戶姓名外,所有其他資料(例如身份證明文件的類別和號碼)應繼續沿用國民身份證明文件上顯示的資料。

If customer's national identification document does not have customer's name <u>fully</u> expressed in Chinese characters (traditional or simplified characters) or English characters (alphabet of 26 letters with no diacritics, accents or symbols added to the letters), please fill in customer's name that is available in the English alphabet in the passport, and provide a copy of customer's national identification document and passport. Please take special note that in this situation, apart from customer's name, all other information such as identity document type and number should continue to follow that of the national identification document.

證券戶口號碼 Securities Account No.	
戶口持有人簽署 Signature of Account Holder **X** _____ 請用留存銀行之印鑑簽署 Please use signature(s) / chop(s) filed with the Bank	(S.V.)
日期 (日/月/年) Date (DD/MM/YY)	

註:
Notes:

1. 銀行將於收到此客戶同意書後兩個工作天內,更新客戶於銀行的記錄。
   The Bank will update the Customer's consent record after 2 working days upon receiving the Client Consent Form from the Customer.

2. 若於銀行紀錄的客戶個人資料是完整及有效的,銀行會將客戶個人資料(包括客戶識別信息及券商客戶編碼)轉移至聯交所。當銀行收到聯交所確認接受有關登記,銀行會更新於銀行的處理狀況。當聯交所接受有關登記,由下一個港股交易日起,客戶將可以合資格使用與在聯交所上市或買賣的證券相關的服務。若聯交所拒絕接受有關登記,銀行會自動取消客戶所有已發出於下一個港股交易日處理但仍未執行的本地證券買入指示。請透過本行不同的買賣途徑查詢指示處理狀況及同意處理情況。
   If the client personal data maintained with the Bank is complete and valid, the Bank will transfer the personal data (including CID and BCAN) to SEHK. Upon receipt of confirmation from SEHK on the registration, the Bank shall update the consent status recorded in the Bank. Once SEHK accept the registration, the Customer will be eligible to services in relation to securities listed or traded on SEHK starting next Hong Kong trading day. If SEHK reject the registration, all the Customer's outstanding local securities buy orders pending for processing on next Hong Kong trading day will be automatically cancelled. Please check the order status and the consent status via different trading channels of the Bank.

銀行專用(由本行職員填寫) For Bank Use (To be completed by Bank staff):				

To be eligible for	A.a	A.b	B	I have checked the "Client Consent Enquiry" in STB for the above customer
				HK STOCK CLIENT CONSENT / CID INFORMATION CONFIRMATION
Buy & Sell	√	Blank	√	☐ Record is empty or "NOT_PROVIDED" or "WITHDRAW" or "CLOSED". I confirm that I have provided the Supplemental Personal Information Collection Statement (Local Securities)" (From No. SEC512 or SEC512a) in the language of customer's choice (English or Chinese) and invited customer to read and ask questions if the customer wishes.
Sell Only	Blank	√	√	

HK STOCK CLIENT CONSENT

☐ Record is empty or "NOT_PROVIDED" or "WITHDRAW" or "CLOSED". I confirm that I have provided the Supplemental Personal Information Collection Statement (Local Securities)" (From No. SEC512 or SEC512a) in the language of customer's choice (English or Chinese) and invited customer to read and ask questions if the customer wishes.

OR

☐ Record is "PROVIDED". No form SEC512 is required.

CID INFORMATION CONFIRMATION

☐ Record is empty or FALSE

OR

☐ Record is TRUE

註
Notes:

☐ (1)   I have checked the English and Chinese name (if any) in this form match with the identity document provided by customer.

Check OBS Applications K076:

☐ (2a) The ID Document currently maintained in the Bank match with the ID Document in Client Personal Data above.

☐ (2b) The ID Document currently maintained in the Bank does NOT match with the ID Document in Client Personal Data above (For HKID, Macau ID and Passport only. For other national ID, it does not need to match with Bank's record), Customer needs to update Bank's record. Fill in OSCR5.

Check STB Client Consent Enquiry:

☐ (3a) The English and Chinese name (if any) currently maintained in the Bank match with the name on the identity document provided by customer above.

☐ (3b) The English and Chinese name (if any) does not match with the name on the identity document provided by customer above. Customer needs to update Bank's record. Fill in OSCR5.

Attach together with this form:

☐ Customer's ID copy

☐ OSCR5 (if there is change in customer's personal data in Bank's record)

分行編號 Branch No.		職員簽署 Staff Signature	
聯絡電話 Contact Tel			S.V.
日期 (日/月/年) Date (DD/MM/YY)		X_____ (Name in block letters:)	

OPS-SPS/GSC

Received on:

☐ OSCR5 (if applicable) is completed before adding/updating customer's consent record in STB

☐ Scan form to add/updated record in STB Consent maintenance

☐ Scan form for document storage only

☐ Update K072 with "PRCR" and PRC ID number if customer provided PRC ID

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滙豐集團成員 Member HSBC Group