



香港投資者識別碼制度, 場外證券交易滙報制度及FINI制度下的客戶同意書

1. 本人/吾等明白並同意, 英明證券有限公司 (英明證券) 為了向本人/吾等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, 英明證券可收集、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——
 - (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本人/吾等的個人資料 (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
 - (c) 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。
 - (d) 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本人/吾等的客戶識別信息, 及向發行人的股份過戶登記處轉移本人/吾等的客戶識別信息, 以便核實本人/吾等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) 處理及儲存本人/吾等的客戶識別信息, 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本人/吾等的客戶識別信息, 以便處理本人/吾等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。
2. 本人/吾等亦同意, 即使本人/吾等其後宣稱撤回同意, 英明證券在本人/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。

本人/吾等確認已閱讀並明白上述同意書的內容。本人/吾等以簽署本表格, 表示本人/吾等同意並確認英明證券 (及在本同意表格中列明的相關方) 可根據本同意書披露、轉移、使用及/或儲存本人/吾等的任何個人及交易資料 (包括該等由我方提供予英明證券的個人資料), 及同意接受本同意書的條款。

備註:

- i. 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。
- ii. 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。”

此致
英明證券有限公司

簽署: _____
客戶名稱:
帳戶號碼:
簽署日期:



Client Consent Letter under HKIDR, OTCR and FINI

1. I/We acknowledge and agree that Phoenix Capital Securities Limited (PCSL) may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our CID and BCAN(s)) as required for PCSL to provide services to me/us 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 my/our 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) allowing 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 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 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.
 - 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 my/our CID and transfer my/our CID to the issuer's share registrar to enable HKSCC and/ or the issuer's share registrar to verify that I/we have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store my/our CID and transfer my/our 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 my/our application for the relevant share subscription or any other purpose set out in the IPO issuers prospectus
2. I/We also agree that despite any subsequent purported withdrawal of consent by PCSL, my/our personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

I/we acknowledge that I/we have read and understand the content of the above consent form. By signing on this form, I/we agree and confirm that PCSL (and the relevant parties stated in this consent form) may disclose, transfer, use and/or store any of my/our personal and trading information (including those relating to other individuals provided to PCSL by me/us) in accordance with this consent form, and agree to accept the terms of this consent form.

Note:

- i. 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).
- ii. 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."

Regards,
Phoenix Capital Securities Limited

Client Name:
Account no.:
Signing Date: