

## 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

1. 閣下確認並同意我們大新銀行有限公司（「銀行」）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係的個人資料（包括閣下的客戶識別信息及券商客戶編碼）。在不限以上內容的前提下，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），以使其履行法定職能，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。
2. 閣下亦同意，即使閣下其後宣稱撤回同意，銀行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。
3. 再者，閣下同意 (i) 若閣下持有香港身份證，閣下必須向銀行提交閣下之香港身份證；(ii) 如閣下沒有香港身份證，則須向銀行提交閣下之國民身份證明文件以及；(iii) 閣下只會在沒有香港身份證及國民身份證明文件的情況下，向銀行提交閣下之護照。

閣下如未能向銀行提供個人資料（包括但不限於根據上述第3段提交適用之身份證明文件）或上述同意，可能意味著銀行不會或不能夠再（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

1. 如閣下的「客戶識別信息」資料有任何更改，必須及時通知銀行作出更新。
2. 本聲明適用於客戶其下同名的證券賬戶。如客戶持有聯名賬戶，銀行會在所有賬戶持有人各自簽署一份本聲明文件表示同意後向此聯名賬戶分配一個唯一的「券商客戶編碼」，以提供於聯交所上市或買賣的證券相關的服務。
3. 若閣下的「券商客戶編碼」或「券商客戶編碼」與「客戶識別信息」的配對資料為無效或不足，或閣下因應相關監管要求所提供的資料為錯誤、不完整或與銀行所持有的資料不一致，銀行或未能或未能再繼續向閣下提供於聯交所上市或買賣的證券相關的服務。
4. 本聲明在銀行收妥已簽署之聲明後三個交易日內方可生效。

**Personal Information Collection Statement in relation to the Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR)**

1. You acknowledge and agree that we, Dah Sing Bank, Limited ("Bank") may collect, store, process, use, disclose and transfer personal data relating to you (including your client identification data (CID) and Broker-to-Client Assigned Number (BCAN)) 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) 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.
2. 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.
3. Further, you agree that (i) you must submit your Hong Kong Identity Card ("**HKID Card**") to the Bank if you hold a HKID Card; (ii) if you do not have a HKID Card, you shall then submit your national identity document to the Bank and; (iii) you will submit your passport to the Bank only if you do not have a HKID Card and a national identity document.

Failure to provide the Bank with your personal data (including but not limited to the applicable identity document required to be submitted in accordance with paragraph 3 above) or consents as described above may mean that the Bank 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).

**Notes**

1. You are required to notify the Bank promptly if there is any update on your CID.
2. This statement is applicable to customer with securities account(s) under the same name. If customer holds a joint account, a unique BCAN will only be assigned to the joint account for providing services in relation to securities listed or traded on SEHK if all the account holders have provided their consent by signing this statement.
3. If your BCAN or BCAN-CID mapping is invalid or deficient or any information provided by you as requested pursuant to applicable regulatory requirements is incorrect, incomplete or inconsistent with other information held by the Bank, the Bank may not, or no longer be able, as the case may be, to provide services to you in relation to securities listed or traded on SEHK.
4. This statement will be effective within three trading days after receipt of the signed form by the Bank.