



## 《「投資者識別碼制度」及「場外證券匯報制度」客戶同意書》

### On obtaining client consent under the Hong Kong Investor Identification Regime (HKIDR)

閣下明白並同意，大聖證券有限公司“大聖”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，“大聖”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：

I acknowledge and agree that : Monmonkey Group Securities Limited “MGSL” may collect, store, process, use, disclose and transfer personal data relating to myself (including my CID and BCAN(s)) as required for us to provide services to me 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) 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)；  
Disclosing and transferring my 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) 允許聯交所 Allowing SEHK to :

(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》；

Collect, store, process and use my 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) 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

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) 為監察市場目的而使用有關資料進行分析；及

Use such information for conducting analysis for the purposes of market oversight ; and

(c) 允許證監會 Allowing the SFC to :

(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

Collect, store, process and use my 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) 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。

Disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.

(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：

providing BCAN to Hong Kong Securities Clearing Company Limited (HKSCC) allowing HKSCC to:

(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閣下的客戶識別信息，及向發行人的股份過戶登記處轉移閣下的客戶識別信息，以便核實閣下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

retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store your CID and transfer your CID to the issuer's share registrar to enable HKSCC and/ or the issuer's share registrar to verify that you have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and

(ii) 處理及儲存閣下的客戶識別信息，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閣下的客戶識別信息，以便處理閣下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。”

process and store your CID and transfer your 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 your application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.”

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。



# 大聖證券有限公司

Monmonkey Group Securities Limited

I also agree that despite any subsequent purported withdrawal of consent by me, my personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

閣下如未能向“大聖”提供個人資料或上述同意，可能意味著“大聖”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。

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

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。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.

## 確認及同意

### Acknowledgement and Consent :

本人/吾等\_\_\_\_\_；客戶號碼：\_\_\_\_\_，確認已閱讀並理解大聖證券有限公司之《在香港投資者識別碼制度及場外證券交易匯報制度下之客戶同意書》的內容。本人/吾等確認及同意 貴公司可根據本聲明中的條款及目的而使用本人/吾等之個人資料。

I/We \_\_\_\_\_；Account Number : \_\_\_\_\_，confirm that I/we have read and understood the content of “Client consent under the Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR)” issued by Monmonkey Group Securities Limited. I/We hereby give my/our consent to the Company to use my/our personal data on the terms of and for the purposes set out in this statement.

客戶簽署

日期

Customer Signature : \_\_\_\_\_ Date : \_\_\_\_\_  
(公司客戶簽署請加蓋公司印章 Please sign with company chop for corporate client)

備註 Remarks :

客戶簽署必須與本公司記錄之簽署式樣相同。

Client must sign in conformity with the specimen already registered with the Company.

請預留三個工作天，以便辦理上述安排。

Please allow 3 working days for processing the above arrangement.

遞交同意書的方式：(i) 送遞或郵寄至本公司，地址：香港上環信德中心招商局大廈 24 樓 2418 室；(ii) 電郵至 [cs@monmonkeygroup.com](mailto:cs@monmonkeygroup.com)；(iii) 傳真至 (852) 21106488；(iv) 聯絡客戶服務部(852)21110110 作出相應安排。

Submission methods of Consent Form : (i) by hand or by post to our Operations Department, address : Room 2418, 24/F, China Merchants Building, Shun Tak Centre, Sheung Wan, Hong Kong ; (ii) Email to [cs@monmonkeygroup.com](mailto:cs@monmonkeygroup.com) ; (iii) Fax to (852) 21106488 ; (iv) Contact Customer Service at (852) 21110110 for alternative arrangements .

For official use only

僅供職員填寫

For official use only			
僅供職員填寫			
Signature Verified by	Confirmed by	Approved by	Checked / Updated by