

Individual Investor Account Opening Form 個人投資者開戶表格

For Office Use Only 此欄由本公司填寫				
Participant ID : _____6		Participant Type : <u>II</u>		
A/C Short Name : _____15		A/C Opening Date : ____/____/____ DD / MM / YY		
Handled by : Date :	IP Master Input Date : Maker : Checker :	Report Checked by & Date :	Straight Through Ind : Y / N	Auth Form Sent to Designated Bank Date : Maker : Checker :
FATCA/AEOI Checking Date : Maker : Checker :	FATCA Classification: <input type="checkbox"/> US Individual <input type="checkbox"/> Non-US Individual	AEOI Jurisdiction(s) of Residence: <input type="checkbox"/> Hong Kong <input type="checkbox"/> Macau <input type="checkbox"/> Other(s): _____	Identified US/AEOI Indicia have been cured : Y / N	US/AEOI Indicia: <input type="checkbox"/> US Telephone <input type="checkbox"/> US Address <input type="checkbox"/> Other US Indicia: _____ <input type="checkbox"/> AEOI - Address in Undeclared Jurisdiction(s): _____

This form is written in English with a translation in Chinese. In case of any conflict in meaning, the English version shall prevail.

此表格的中英文本內容如有歧異，當以英文本為準。

Please use **black or dark blue ball pen** to complete this form in **English block letters** (except for Name in Chinese) and tick '✓' in appropriate box. All alterations hereto must be signed by the applicant in the same manner he/she signs this form to show that the alterations are made by him/her.

請用黑色或深藍色原子筆及英文正楷(中文姓名除外)填寫本表格，並在適當方格內填入 '✓' 號。凡經修改之處，必須由申請人以其簽署此表格的簽名式樣簽署，以表示有關更改乃由他/她本人作出。

1. Particulars of Applicant 申請人資料

Mr Ms Mrs Miss
先生 女士 太太 小姐

Name in Chinese (if any) :

中文姓名(如有) _____

Full Name in English (as shown on HKID / Macau Resident ID Card) :

英文姓名(必須與香港/澳門居民身份證上的姓名相同)

Please remember to attach copy of your HKID / Macau Resident ID Card
請緊記附上閣下的香港/澳門居民身份證影印本

Family Name 姓

Given Names 名

HKID / Macau Resident ID Card No. :

香港/澳門居民身份證號碼 _____(____)

Residential Address in Hong Kong or Macau in English :

用英文填寫的香港或澳門居住地址

_____ HK 香港 KLN 九龍 NT 新界 MAC 澳門

Correspondence Address in Hong Kong or Macau in English, if different from Residential Address :

用英文填寫的香港或澳門通訊地址，如與居住地址不同

_____ HK 香港 KLN 九龍 NT 新界 MAC 澳門

Mobile No. : 手提電話號碼 :

Home / Office No. : 住宅 / 公司電話號碼 :

Fax No. : 圖文傳真號碼 :

_____-_____/_____-_____

_____-_____

2. Choice of Statement / SMS Language (can choose one language only)

所選擇的結單 / 短訊語文(只可選擇一種語文)

English 英文 Chinese 中文

E-mail Address (if any) :

電郵地址(如有)

3. Election for Receiving Statement via Mail 選擇透過郵遞收取結單

B Both Monthly and Activity Statement 活動結單及月結單

M Monthly Statement only 只收取月結單

D Activity Statement only 只收取活動結單

N Not to receive 不收取

4. Subscription for SMS 選擇接收短訊服務 (if applicable 如適用)

If you elect to subscribe for SMS, please read the SMS disclaimer below and provide phone number for receiving SMS:

如閣下選擇接收短訊服務，請參閱下述短訊服務聲明及提供接收短訊電話號碼

(Available within the local telecommunication network in Hong Kong only 只適用於香港本地的電訊網絡) | | | | | | | | | | | |

Types of SMS Subscribed 選擇接收短訊服務類別

- | | |
|---|---|
| <input type="checkbox"/> ISI Reminder 投資者交收指示通知 | <input type="checkbox"/> Voting Reminder 公司投票通知 |
| <input type="checkbox"/> EIPO Reminder 電子認購新股通知 | <input type="checkbox"/> Election Reminder 權益選擇通知 |
| <input type="checkbox"/> Tender Reminder 投標通知 | <input type="checkbox"/> All Reminder 全部通知 |

SMS Disclaimer 短訊服務聲明:

By subscribing to the SMS, the Investor Participant also agrees to receive from HKSCC, via the SMS, messages containing information of CCASS services and facilities or any other information which HKSCC may from time to time transmit to the Investor Participant, including but not limited to messages and information that contain marketing or promotional or advertising materials, or unsolicited contents in relation to the goods, products, services or facilities offered by HKSCC from time to time. If the Investor Participant does not wish to receive such promotional or direct marketing materials, please notify HKSCC in writing to Customer Service Centre at the address stated above. Investor Participants who are using major mobile operators will be able to receive the SMS from HKSCC.

投資者戶口持有人訂購短訊服務，代表其亦同意透過短訊服務接收結算公司有關中央結算系統服務及設施的資料，或結算公司可能不時向投資者戶口持有人傳送的任何其他資料的訊息，包括但不限於推銷或推廣或宣傳的訊息及資料，或結算公司不時就其提供的貨品、產品、服務或設施而主動提供的資料。投資者戶口持有人如不欲接收此等推廣或直銷資料，請書面通知結算公司的客戶服務中心，地址請參上。投資者戶口持有人如使用主要流動電話網絡供應商將可收取由結算公司發出的短訊。

5. Election for 「Not」 to Receive Corporate Communications from Listed Issuers

選擇「不」收取上市證券發行人的公司通訊

Hong Kong Securities Clearing Company Limited (“HKSCC”) shall from time to time upon the written request of an issuer of an Eligible Security disclose to that issuer details of the holdings in the Central Clearing and Settlement System (“CCASS”) of Investor Participants in such Eligible Security in accordance with the General Rules of CCASS (“Rules”).

香港中央結算有限公司（「結算公司」）將根據《中央結算系統一般規則》，不時應合資格證券發行人的書面請求，向該合資格證券的發行人申報投資者戶口持有人在中央結算及交收系統（「中央結算系統」）內持有該合資格證券的詳情。

In addition, unless an Investor Participant indicates that it does not wish to receive corporate communications from listed issuers, HKSCC will release the name and address of the Investor Participant to share registrars to facilitate their mailing of such corporate communications to the Investor Participant free-of-charge. Therefore, if you **do not** wish to receive corporate communications from listed issuers, please tick ‘✓’ the “No” box on the right.

Please note that this does not negate HKSCC’s right to release information of Investor Participant for any other purposes in accordance with the Rules.

No
不用

此外，除非投資者戶口持有人表明不願意收取上市證券發行人的公司通訊，結算公司將提供該投資者戶口持有人的姓名及地址予股份過戶及登記處，以便其能免費郵寄該等公司通訊予該投資者戶口持有人。因此，若閣下不願意收取該等公司通訊，請在右方「不用」的方格內填入「✓」號，惟此決定不會否定結算公司依據《中央結算系統一般規則》的規定而披露投資者戶口持有人資料作其他用途的權利。

6. Declaration 聲明書

I, the undersigned, hereby declare that :-

本人，即下述簽署人，謹此聲明:-

- I apply to open and maintain an Individual Investor Account (“Account”) in CCASS with HKSCC.
本人申請於結算公司的中央結算系統內開立，並繼續開立一個個人投資者戶口。
- I have attained the age of 18, hold a Hong Kong / Macau Resident Identity Card and I am neither an undischarged bankrupt nor subject to legal incapacity.
本人已年滿18歲，持有香港/澳門居民身份證，且並非為未償清債務的破產者，亦非法律上無行為能力。
- All the information given herein and otherwise in relation to the opening of the Individual Investor Account is true and correct and I undertake to notify HKSCC immediately in writing of any change whatsoever in any such information. Until such notification, HKSCC may rely on the information previously provided.
此中提供有關開立個人投資者戶口的資料及其他資料均屬真實無誤，若該等資料有任何變更，本人承諾將立即以書面通知結算公司，但在結算公司未獲得該變更通知前，原有資料仍繼續有效。
- I shall pay to HKSCC the fees and expenses and all other payments provided for by HKSCC’s Terms and Conditions for Investor Participants at such time and in such manner as specified therein.
本人須遵從結算公司的《投資者戶口持有人規則》所指定的時間及方式，向結算公司支付規則內訂明的費用、開支或其他款項。
- I understand and agree that by submitting this Account Opening Form, I undertake to comply with and be bound by HKSCC’s Terms and Conditions for Investor Participants in force from time to time.
本人明白並同意，本人遞交此開戶表格，即表示本人承諾遵守結算公司不時規定的《投資者戶口持有人規則》及受其約束。
- I undertake that I shall use my Account at all times for my own account as an investor in securities and I shall not use the Account for operating any custodian or nominee or investment management business for purposes of commercial gain directly or indirectly arising therefrom.
本人承諾會以本人作為證券投資者的身份來使用投資者戶口存管本人實益擁有的股份，並承諾不會利用該戶口來經營任何託管人、代理人或投資管理業務，從而直接或間接地賺取商業利潤。

SIGNED by the Applicant 申請人簽署 (Please sign in the middle of the box below and do not let your signature touch or overlap any lines as it will be used as your specimen signature) (因此簽名會被視為閣下的簽名式樣，請於以下方格的正中央簽署，並切勿讓簽名與方格的任何行線重疊)	Applicant’s Full Name in English 申請人的英文姓名 (Please complete in block capitals below 請用正楷在下方填寫)	
	Date of Signing 簽署日期	
For Office Use Only 此欄由本公司填寫		
Signature scanned by & date:	Signature verified by & date:	

Investor Participant Self-Certification Form 投資者戶口持有人自我證明表格

(If you are a Joint Individual Investor Participant, each joint individual must submit a separate Self-Certification Form)

(如貴戶為聯名投資者戶口持有人，每位聯名人士必須遞交個別自我證明表格)

To: Hong Kong Securities Clearing Company Limited (“HKSCC”) and Hong Kong Exchanges and Clearing Limited (“HKEX”) 致：香港中央結算有限公司《結算公司》及香港交易及結算所有限公司《香港交易所》

Customer Service Centre
1/F, One & Two Exchange Square,
8 Connaught Place, Central, Hong Kong
香港中環康樂廣場 8 號交易廣場
1 期及 2 期 1 樓客戶服務中心
(Enquiry Tel. No. 查詢電話號碼 2979-7000)

From: _____

English Full Name of Investor Participant
投資者戶口持有人的英文全名

Participant ID:
參與者編號

Date of Birth (DD-MM-YYYY): _____
出生日期 (日日-月月-年年年年)

Current Residence Address:
現時住址

Place of Birth: _____
出生地

(Address, city/town and country)
(地址，城市與國家)

Certification of Account Status (For Individual Investor Participant only) 身份認證(只限個人投資者戶口持有人)

- a) I certify that I am a citizen of the United States of America. Yes No
本人聲明及保證本人為美國公民。 是 否
- b) I certify that I am a resident of the United States of America for US federal income tax purposes. Resident of the United States of America includes without limitation any individual who (i) holds a US Permanent Resident Card (a green card) or (ii) meets a US “substantial presence” test under the US federal income tax law. Yes No
本人聲明及保證本人為美國聯邦稅法定義下的美國居民。美國居民包括(i)美國永久居民卡(“綠卡”)持有者或(ii)通過美國聯邦稅法所規定“居住測試”的人士。 是 否

If yes in either a) or b), please provide the US Taxpayer Identification Number (i.e., US Social Security Number):
如您在問題 a) 到 b) 任何一處勾選“是”，請在下方提供您的美國納稅人識別號碼(美國社會保險號碼):

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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- c) I certify that I am a resident for tax purposes in the jurisdiction(s) as indicated in the table below and I hereby provide my Taxpayer Identification Number or the functional equivalent thereof (“TIN”) for each jurisdiction indicated.
本人聲明及保證本人為下方列表列出居留司法管轄區之稅務居民並特此提供每個所列居留司法管轄區的稅務編號或具有等同功能的識辨編號(“稅務編號”)。

Notes to completing the table below:
填寫下方列表時注意:

- Please indicate **all** jurisdictions of residence for tax purposes (including the Hong Kong Special Administrative Region of the People’s Republic of China (“Hong Kong”) where applicable). The United States of America need not be listed in the table below. If space provided below is insufficient, continue on additional sheet(s).
請提供**所有**閣下作為稅務居民的居留司法管轄區(包括中華人民共和國香港特別行政區(“香港”)如適用)。美國無需在下方列表列出。如下方空位不夠應用，可另紙填寫。
- If you are a resident of Hong Kong for tax purposes, the TIN for Hong Kong is the Hong Kong Identity Card Number (including the digit in brackets but without the brackets themselves).
如閣下為香港的稅務居民，稅務編號是其香港身份證號碼(包括括號裡的數字但不包括括號)。
- Please note that Hong Kong, the Macau Special Administrative Region of the People’s Republic of China, the People’s Republic of China and Taiwan are separate jurisdictions for the purposes of this Self-Certification Form.
請注意香港、中華人民共和國澳門特別行政區、中華人民共和國和台灣在此表格被視為不同的居留司法管轄區。
- If you have any questions about your jurisdiction(s) of residence for tax purposes or how to complete the table below, please contact your tax advisor.
如閣下有關於貴作為稅務居民的居留司法管轄區，或如何填寫下方列表的疑問，請向貴稅務顧問諮詢。

- If a TIN is not provided, please select one of the reasons below:
 Reason A – The jurisdiction does not issue TINs to its residents.
 Reason B – You are unable to obtain a TIN. Please provide explanation in the table below.
 Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction do not require the TIN to be disclosed.
 如沒有提供稅務編號，請選擇以下一個理由：
 理由 A – 此居留司法管轄區並沒有向其居民發出稅務編號。
 理由 B – 閣下不能取得稅務編號。請在下方列表提供解釋。
 理由 C – 毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Jurisdiction(s) of Residence for Tax Purposes 稅務居民的居留司法管轄區	TIN 稅務編號	Enter Reason A, B, or C if no TIN is provided 如沒有提供稅務編號，填寫理由 A、B 或 C	Explanation if Reason B is selected 如選取理由 B，解釋原因
(1)			
(2)			
(3)			
(4)			
(5)			

d) Residence Address for Tax Purposes: _____
 稅務用途住址 _____
 (Please include address, city/town and country)
 (填寫時請包括地址，城市與國家)

SIGNATURE, DECLARATIONS AND CONSENT FOR DISCLOSURE 簽署，聲明及同意披露

I acknowledge and agree that the information on this Self-Certification Form is collected and may be kept by HKSCC and HKEX for the purposes of Automatic Exchange of Financial Account Information (“AEOI”), including Section 50B(3) of the Inland Revenue Ordinance (Cap. 112 of the Laws of Hong Kong), and the US Foreign Account Tax Compliance Act (“FATCA”), and such information (including my personal data provided herein (the “Personal Information”)) may be reported by HKSCC or HKEX to (i) the Hong Kong Inland Revenue Department (the “IRD”) for transfer to the governmental, regulatory or competent authority or taxing authority of one or more jurisdiction(s) (the “Relevant Authorities”) in which I am a resident for tax purposes, and/or (ii) the US Internal Revenue Service (the “IRS”) or otherwise in connection with FATCA.

本人知悉及同意，本表格所載資料由結算公司和香港交易所收集並可備存作自動交換財務帳戶資料《AEOI》(包括香港法例第 112 章《稅務條例》第 50B(3)條)和美國海外帳戶稅收合規法案《FATCA》用途，及可被結算公司或香港交易所把該等資料(包括本人在此提供的個人資料(“個人資料”)) (i)向香港稅務局(“稅務局”)申報，從而把資料轉交到本人作為稅務居民的一個或多個居留司法管轄區的政府、監管或主管當局或稅務機關 (“相關當局”)，和/或(ii)向美國國稅局申報或其它 FATCA 相關的申報。

I hereby expressly give my consent to the disclosure, use and making available by HKSCC and HKEX of information (including the Personal Information) on this Self-Certification Form as well as those relating to or derived from my account maintained with HKSCC in my capacity as an Investor Participant, to the IRD, the Relevant Authorities and/or the IRS from time to time for the purposes of, or in connection with, AEOI, FATCA and/or any other matters included in the “Tax Information Exchange Framework” as defined in the Terms and Conditions for Investor Participants, General Rules of CCASS and the CCASS Operational Procedures.

本人明確表示同意結算公司及香港交易所因或有關 AEOI、FATCA 和/或投資者戶口持有人規則、中央結算系統一般規則和中央結算系統運作程序規規定義下的《稅務資料交換框架》內的其它課題不時向稅務局、相關當局和/或美國國稅局披露，使用和提供本表格所載資料(包括個人資料)和/或與本人以投資者戶口持有人身份持有的戶口有關或從中所獲得的資料。

I understand that my Personal Information will continue to be made available to the IRD, the Relevant Authorities and/or the IRS until such time as HKSCC or HKEX has received my written notification of revocation of my consent. I further understand that following withdrawal of my consent any Personal Information that has already been disclosed prior to such withdrawal will remain accessible to the IRD, the Relevant Authorities and/or the IRS to which it was previously disclosed for the purposes of, or in connection with, AEOI, FATCA and/or any other Tax Information Exchange Framework matters.

本人明白本人的個人資料將可能被提供予稅務局、相關當局和/或美國國稅局，直至本人以書面形式通知結算公司或香港交易所撤銷有關同意。本人進一步明白，在撤銷有關同意前已因或有關 AEOI、FATCA 和/或稅務資料交換框架內的其它課題而披露的個人資料將仍可讓稅務局、相關當局和/或美國國稅局繼續查閱。

I certify that I am the account holder (within the meaning of each of AEOI and FATCA) of the account(s) to which this Self-Certification Form relates. 本人聲明及保證，就與本表格所有相關的帳戶，本人是按 AEOI 和 FATCA 定義下的帳戶持有人。

I agree that I will advise HKSCC and HKEX of any change in circumstances which (i) affects my jurisdiction(s) of residence for tax purposes and/or my US or non-US status or (ii) otherwise causes the information contained on this Self-Certification Form to become incorrect or incomplete, and I will submit a new Self-Certification Form to HKSCC and HKEX within 30 days of such change in circumstances.

本人承諾，如情況有所改變，以致影響本表格的(i)本人作為稅務居民的居留司法管轄區和/或本人的美國或非美國身份，或(ii)引致本表格所載的資料不正確或不完備，本人會通知結算公司和香港交易所，並會在情況發生改變後 30 日內，向結算公司和香港交易所提交一份已適當更新的自我證明表格。

In addition to and notwithstanding the above, by signing this Self-Certification Form below, I consent to the processing of my Personal Information in accordance with HKEX's Privacy Policy Statement as set out at the end of this Self-Certification Form.

除上述之外及儘管有所上述，通過在下方簽署此表格，本人同意讓本人的個人資料依照此表格尾部所載的香港交易所《私隱政策聲明》處理。

I declare that the information given and statements in this Self-Certification Form are, to the best of my knowledge and belief it is true, correct and complete.

本人在此聲明本人已閱讀明白此自我證明表格內所有之內容。同時聲明盡本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signed by the Investor Participant:

投資者戶口持有人簽署：

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Signature of person named on the form 個人簽署	Print Name 姓名	Date (DD-MM-YYYY) 日期 (日日-月月-年年年年)
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Note it is an offence under section 80(2E) of the Inland Revenue Ordinance (Cap. 112 of the Laws of Hong Kong) if any person, in making a self-certification relating to AEOI, makes a statement that is misleading, false or incorrect in a material particular and knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e., \$10,000).

警告：根據香港法例第112章《稅務條例》第80(2E)條，如任何人在自我證明表格作出關於AEOI自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第3級(即\$10,000)罰款。

This Self-Certification Form is written in English with a translation in Chinese. In case of inconsistency, the English version shall prevail.
此自我證明表格的中英文本內容如有歧異，當以英文本為準。

Privacy Policy Statement

Hong Kong Exchanges and Clearing Limited, and from time to time, its subsidiaries (together the "**Group**") (and each being "**HKEX**", "**we**", "**us**" or "**member of the Group**" for the purposes of this Privacy Policy Statement as appropriate) recognise their responsibilities in relation to the collection, holding, processing, use and/or transfer of personal data under the Personal Data (Privacy) Ordinance (Cap. 486) ("**PDPO**"). Personal data will be collected only for lawful and relevant purposes and all practicable steps will be taken to ensure that personal data held by us is accurate. We will use your personal data which we may from time to time collect in accordance with this Privacy Policy Statement.

We regularly review this Privacy Policy Statement and may from time to time revise it or add specific instructions, policies and terms. Where any changes to this Privacy Policy Statement are material, we will notify you using the contact details you have provided us with and, where required by the PDPO, give you the opportunity to opt out of these changes by means notified to you at that time. Otherwise, in relation to personal data supplied to us through the HKEX website or otherwise, continued use by you of the HKEX website or your continued relationship with us shall be deemed to be your acceptance of and consent to this Privacy Policy Statement, as amended from time to time.

If you have any questions about this Privacy Policy Statement or how we use your personal data, please contact us through one of the communication channels set out in the "Contact Us" section below.

We will take all practicable steps to ensure the security of the personal data and to avoid unauthorised or accidental access, erasure or other use. This includes physical, technical and procedural security methods, where appropriate, to ensure that the personal data may only be accessed by authorised personnel.

Please note that if you do not provide us with your personal data (or relevant personal data relating to persons appointed by you to act on your behalf) we may not be able to provide the information, products or services you have asked for or process your requests, applications, subscriptions or registrations, and may not be able to perform or discharge the Regulatory Functions (defined below).

Purpose

From time to time we may collect your personal data including but not limited to your name, mailing address, telephone number, email address, date of birth and login name for the following purposes:

1. to process your applications, subscriptions and registration for our products and services;
2. to perform or discharge the functions of HKEX and any company of which HKEX is the recognised exchange controller (as defined in the Securities and Futures Ordinance (Cap. 571)) ("**Regulatory Functions**");
3. to provide you with our products and services and administer your account in relation to such products and services;
4. to conduct research and statistical analysis;
5. to process your application for employment or engagement within HKEX to assess your suitability as a candidate for such position and to conduct reference checks with your previous employers; and
6. other purposes directly relating to any of the above.

Direct marketing

Where you have given your consent and have not subsequently opted out, we may also use your name, mailing address, telephone number and email address to send promotional materials to you and conduct direct marketing activities in relation to HKEX financial services and information services, and financial services and information services offered by other members of the Group.

If you do not wish to receive any promotional and direct marketing materials from us or do not wish to receive particular types of promotional and direct marketing materials or do not wish to receive such materials through any particular means of communication, please contact us through one of the communication channels set out in the "Contact Us" section below. To ensure that your request can be processed quickly please provide your full name, email address, log in name and details of the product and/or service you have subscribed.

Identity Card Number

We may also collect your identity card number and process this as required under applicable law or regulation, as required by any regulator having authority over us and, subject to the PDPO, for the purpose of identifying you where it is reasonable for your identity card number to be used for this purpose.

Transfers of personal data for direct marketing purposes

Except to the extent you have already opted out we may transfer your name, mailing address, telephone number and email address to other members of the Group for the purpose of enabling those members of the Group to send promotional materials to you and conduct direct marketing activities in relation to their financial services and information services.

Other transfers of your personal data

For one or more of the purposes specified above, your personal data may be:

1. transferred to other members of the Group and made available to appropriate persons in the Group, in Hong Kong or elsewhere and in this regard you consent to the transfer of your data outside of Hong Kong;
2. supplied to any agent, contractor or third party who provides administrative, telecommunications, computer, payment, debt collection, data processing or other services to HKEX and/or any of other member of the Group in Hong Kong or elsewhere; and
3. other parties as notified to you at the time of collection.

How we use cookies

If you access our information or services through the HKEX website, you should be aware that cookies are used. Cookies are data files stored on your browser. The HKEX website automatically installs and uses cookies on your browser when you access it. Two kinds of cookies are used on the HKEX website:

Session Cookies: temporary cookies that only remain in your browser until the time you leave the HKEX website, which are used to obtain and store configuration information and administer the HKEX website, including carrying information from one page to another as you browse the site so as to, for example, avoid you having to re-enter information on each page that you visit. Session cookies are also used to compile anonymous statistics about the use of the HKEX website.

Persistent Cookies: cookies that remain in your browser for a longer period of time for the purpose of compiling anonymous statistics about the use of the HKEX website or to track and record user preferences.

The cookies used in connection with the HKEX website do not contain personal data. You may refuse to accept cookies on your browser by modifying the settings in your browser or internet security software. However, if you do so you may not be able to utilise or activate certain functions available on the HKEX website.

Compliance with laws and regulations

HKEX and other members of the Group may be required to retain, process and/or disclose your personal data in order to comply with applicable laws and regulations or in order to comply with a court order, subpoena or other legal process (whether in Hong Kong or elsewhere), or to comply with a request by a government authority, law enforcement agency or similar body (whether situated in Hong Kong or elsewhere) or to perform or discharge the Regulatory Functions. HKEX and other members of the Group may need to disclose your personal data in order to enforce any agreement with you, protect our rights, property or safety, or the rights, property or safety of our employees, or to perform or discharge the Regulatory Functions.

Corporate reorganisation

As we continue to develop our business, we may reorganise our group structure, undergo a change of control or business combination. In these circumstances it may be the case that your personal data is transferred to a third party who will continue to operate our business or a similar service under either this Privacy Policy Statement or a different privacy policy statement which will be notified to you. Such a third party may be located, and use of your personal data may be made, outside of Hong Kong in connection with such acquisition or reorganisation.

Access and correction of personal data

Under the PDPO, you have the right to ascertain whether we hold your personal data, to obtain a copy of the data, and to correct any data that is inaccurate. You may also request us to inform you of the type of personal data held by us. All data access requests shall be made using the form prescribed by the Privacy Commissioner for Personal Data ("**Privacy Commissioner**") which may be found on the official website of the Office of the Privacy Commissioner or via this link

<https://www.pcpd.org.hk/english/publications/files/Dforme.pdf>

Requests for access and correction of personal data or for information regarding policies and practices and kinds of data held by us should be addressed in writing and sent by post to us (see the "Contact Us" section below).

A reasonable fee may be charged to offset our administrative and actual costs incurred in complying with your data access requests.

Termination or cancellation

Should your account or relationship with us be cancelled or terminated at any time, we shall cease processing your personal data as soon as reasonably practicable following such cancellation or termination, provided that we may keep copies of your data as is reasonably required for archival purposes, for use in relation to any actual or potential dispute, for the purpose of compliance with applicable laws and regulations and for the purpose of enforcing any agreement we have with you, for protecting our rights, property or safety, or the rights, property or safety of our employees, and for performing or discharging our functions, obligations and responsibilities.

General

If there is any inconsistency or conflict between the English and Chinese versions of this Privacy Policy Statement, the English version shall prevail.

Contact us

By Post:

Personal Data Privacy Officer
Hong Kong Exchanges and Clearing Limited
12/F, One International Finance Centre
1 Harbour View Street
Central
Hong Kong

By Email:

DataPrivacy@HKEX.COM.HK

私隱政策聲明

香港交易及結算所有限公司以及其不時的附屬公司（統稱「**本集團**」）（在本私隱政策聲明中，各自稱為「**香港交易所**」、「**我們**」或「**本集團成員公司**」，視適用情況而定）明白根據香港法例第 486 章《個人資料（私隱）條例》（該「**《條例》**」）其在收集、持有、處理、使用及／或轉移個人資料方面的責任。個人資料的收集只限作合法且相關的用途，並會採取一切實際可行方法去確保我們持有的個人資料準確無誤。我們將會根據本私隱政策聲明使用我們不時所收集閣下的個人資料。

我們定期檢討這項私隱政策聲明，並可能不時加以修訂或加入具體指示、政策及條款。本私隱政策聲明如有任何重要修訂，我們會通過閣下提供給我們的聯絡方式通知閣下，也會按該《條例》的規定，讓閣下可以透過屆時通知閣下的途徑選擇拒絕接收此類修訂通知。否則，關於通過香港交易所網站或其他方式而提供給我們的個人資料，閣下繼續使用香港交易所網站或繼續維持與我們的關係即被視為同意並接受此項私隱政策聲明（不時修訂）。

如對這項私隱政策聲明或我們如何使用閣下的個人資料有任何疑問，請通過下文「**聯繫我們**」所載的任何一個通訊渠道與我們聯繫。

我們會採取一切實際可行方法確保個人資料的安全，以及避免個人資料在未經授權或意外的情況下被取用、刪除或作其他用途。這包括在實物具體上、技術上及程序上的適當安全措施，確保只有經授權人士才能取用個人資料。

請注意：如閣下沒有向我們提供個人資料（或有關閣下代理人的個人資料），我們可能無法提供閣下要求的資訊、產品或服務又或無法處理閣下的要求、申請、訂購或登記，亦可能無法執行或履行監管職能（定義見下文）。

目的

我們或會為了以下目的而不時收集閣下的個人資料（包括但不限於閣下的姓名、郵寄地址、電話號碼、電郵地址、出生日期和登入名稱）：

1. 處理閣下的申請、訂購及登記使用我們的產品及服務；
2. 執行或履行香港交易所以及任何由其作為認可控制人的公司（定義見香港法例第 571 章《證券及期貨條例》）的職能（「**監管職能**」）；
3. 向閣下提供我們的產品和服務，以及與此相關的賬戶管理；
4. 進行研究和統計分析；
5. 處理閣下應聘香港交易所職位或工作的申請，以評估閣下是否為適合人選，並向閣下的前僱主進行相關的背景查證；及
6. 與上列任何一項有直接關聯的其他目的。

直接營銷

如閣下已經給予同意而後並無撤回，我們也可能會使用閣下的姓名、郵寄地址、電話號碼和電郵地址，用以寄送宣傳資料，就香港交易所以及本集團其他成員公司的金融和資訊服務進行直接營銷活動。

如不希望收到我們的宣傳和直接營銷資料，或不希望收到某類宣傳和直接營銷資料，又或不希望在某種途徑收到此類材料，請通過下文「**聯繫我們**」所載的其中一種通訊渠道聯絡我們。為確保可以迅速處理閣下的要求，請提供閣下的全名、電郵地址、登入名稱及所訂閱產品及／或服務的詳情。

身份證號碼

我們也可能會根據適用法律或規例又或任何對我們有管轄權限的監管者的要求而收集並處理閣下的身份證號碼，另外亦可能因為需要識別閣下的身份而（在不抵觸該《條例》的前提下）收集並處理閣下的身份證號碼。

轉移閣下的個人資料作直接營銷

除非閣下已經拒絕，否則我們可能會將閣下的姓名、郵寄地址、電話號碼和電郵地址轉交本集團其他成員公司，使其可向閣下寄送宣傳資料，就其金融和資訊服務進行直接營銷活動。

其他轉移個人資料的情況

為了以上一個或多於一個目的，閣下的個人資料可能會被：

1. 轉交予本集團其他成員公司，而使本集團（在香港或其他地方）的相關人員獲得閣下的個人資料；就此，閣下同意將閣下的個人資料轉離香港；
2. 提供予任何向香港交易所及/或本集團在香港或其他地方的其他成員提供行政、電訊、電腦、付款、追收欠款、資料處理或其他服務的代理、承判商或第三方；及
3. 轉交予其他人士（收集資料時會通知閣下）。

我們如何使用 cookies

閣下通過香港交易所網站查閱我們的資訊或服務時，應當留意到網站有使用 cookies。Cookies 是指儲存在閣下瀏覽器內的資料檔。閣下進入香港交易所網站時，網站即在閣下瀏覽器內自動安裝並使用 cookies。香港交易所網站使用兩種 cookies。

Session Cookies：一種只在閣下瀏覽香港交易所網站期間留存於瀏覽器內的短暫性質 cookies，用處在於取得並儲存配置資訊及管理網站，包括「攜帶」資訊以隨閣下瀏覽網站的不同版頁，譬如以免閣下每到一個版頁也要重新輸入資訊。Session cookies 也會用來編備關於香港交易所網站使用的匿名統計資料。

Persistent Cookies：一種留存於瀏覽器內較長時間的 cookies，用以編備關於香港交易所網站使用的匿名統計資料，或追蹤和記錄使用者的習慣偏好。

香港交易所網站所用的 cookies 不包含個人資料。閣下可以更改瀏覽器或網路安全軟件中的設定，拒絕接受瀏覽器內的 cookies。不過，這樣或會令閣下不能使用或啟動香港交易所網站中的某些功能。

法律與法規的遵守

香港交易所及本集團其他成員公司或要為了遵守適用法律及規例，或遵守法院指令、傳票或其他法定程序（無論於香港或其他地方），或遵從政府機關、執法機構或類似機構（無論位於香港或其他地方）提出的要求，又或執行或履行監管職能，而必須保留、處理及/或披露閣下的個人資料。香港交易所及本集團其他成員公司或須披露閣下的個人資料，以履行與閣下的協議，或保護我們或我們僱員的權利、財產或安全，又或執行或履行監管職能。

公司重組

隨著我們持續發展業務，我們可能會重組集團架構或出現控制權易手或業務合併。在這些情況下，閣下的個人資料或會按這份私隱政策聲明或另一份將會通知閣下的私隱政策聲明而移交繼續運營我們業務或類似服務的第三方。此等第三方或在香港以外的地方，就此等收購或重組而使用閣下個人資料的地點也可能不在香港。

查閱及更正個人資料

根據該《條例》，閣下有權查明我們是否持有閣下的個人資料、取得資料的備份及更正任何不準確資料，也可以要求我們通知閣下其持有資料的種類。如欲查閱有關資料，須使用個人資料私隱專員（「**私隱專員**」）指定的表格（可於私隱專員公署的官方網站下載）或經此連接 <https://www.pcpd.org.hk/english/publications/files/Dforme.pdf> 提出。

如欲查閱和更正個人資料，或查閱有關政策與常規以及我們所持有資料種類，應以書面及郵遞形式提出要求（見以下「聯繫我們」）。

我們或會因應閣下查閱資料要求而產生的行政及實際成本而收取合理的費用。

終止或取消

任何時候如果閣下在我們的賬戶或與我們的關係被取消或終止，我們會隨即在合理情況下盡快終止處理閣下的個人資料，但也可按合理需要而保留有關資料，合理的需要包括：資料歸檔；解決實際或潛在的爭議；遵守適用法律及規例；履行與閣下的任何協議；保障我們及我們僱員的權利、財產或安全；以及執行或履行我們的職能、義務及責任等。

一般資料

本私隱政策聲明中英文本如有差異，概以英文版為準。

聯繫我們

郵寄：

香港中環港景街一號

國際金融中心一期 12 樓

香港交易及結算所有限公司

個人資料隱私主任

電郵：

DataPrivacy@HKEX.COM.HK

Investor Participant HKD Debit Authorisations and Authorisation to Disclose Information Form
投資者戶口持有人扣賬授權及資料申報授權書

(Please complete and return this authorisation form to Customer Service Centre for processing. 請填妥此授權書，並把它交回客戶服務中心辦理。)

1. Types of authorisations 授權事項：

a. Direct Debit Authorisation 直接扣賬授權

I/We hereby authorise my/our below-named Bank (“the Bank”) to effect transfers from my/our Hong Kong Dollar (“HKD”) bank account (“the Account”) set out below to the HKD bank accounts of Hong Kong Securities Clearing Company Limited (“HKSCC”) specified below in accordance with Direct Debit Instructions (“DDIs” and “DDI” shall be construed accordingly) presented to the Bank by HKSCC via Hong Kong Interbank Clearing Limited (“HKICL”) from time to time.

本人/吾等茲授權下述本人/吾等的銀行（「該銀行」）按照及履行香港中央結算有限公司（「結算公司」）經由香港銀行同業結算有限公司不時向該銀行發出的直接扣賬指示，將款項從本人/吾等的下述銀行賬戶（「該賬戶」）轉入下述結算公司的銀行賬戶。

b. Debit Authorisation for Electronic Payment Instruction 電子付款指示扣賬授權

I/We hereby authorise the Bank to accept and effect transfers in accordance with Electronic Payment Instructions (“EPIs” and “EPI” shall be construed accordingly), being debit instructions to effect transfers from the Account presented to the Bank by HKSCC via HKICL from time to time.

本人/吾等茲授權該銀行接受及履行結算公司經由香港銀行同業結算有限公司不時向該銀行發出的電子付款指示，並按照該等電子付款指示，從該賬戶扣除款項以進行轉賬。

c. Debit Authorisation for Clearing House Automated Transfer System (CHATS) Payment Instruction (See Note 1 Overleaf)

票據交換所自動轉賬系統(CHATS) 付款指示扣賬授權 (請參閱在後頁的附註 1)

I/We hereby authorise the Bank to accept and effect transfers in accordance with CHATS Payment Instructions (“CPIs” and “CPI” shall be construed accordingly), being debit instructions to effect transfers from the Account from time to time presented to the Bank by HKSCC via the Central Clearing and Settlement System (“CCASS”) Terminal, and in the case of mechanical breakdown, computer or system failures, or failures of communication media or any other force majeure reason, such other means as may be agreed between HKSCC and the Bank. I/We acknowledge that not every CCASS designated bank provides the CHATS payment service to CCASS Investor Participants. For completion of HKSCC’s prescribed investor account opening and maintenance procedures, I/we hereby request the Bank, if it does not currently provide the CHATS payment service to the Account, to retain on its record my/our aforesaid authorisation as valid and to act on my/our authorisation if and when it at its own discretion elects to provide the CHATS payment service to the Account.

本人/吾等茲授權該銀行按照結算公司不時向該銀行發出的 CHATS 付款指示，從該賬戶扣賬。結算公司的 CHATS 付款指示，將經由中央結算及交收系統（「中央結算系統」）終端機發出，或在機械故障、電腦或系統失靈或通訊媒介失靈或其他不可抗力原因的情況下，經由結算公司與該銀行同意的其他途徑向該銀行發出。本人/吾等確認，並非所有中央結算系統的指定銀行皆提供 CHATS 付款服務予中央結算系統的投資者戶口持有人。為使能完成結算公司指定的開立及繼續持有投資者戶口須履行的手續，若該銀行現時不提供 CHATS 付款服務予該賬戶，本人/吾等謹此要求該銀行保留前述本人/吾等的授權在其記錄中，並在其決定為該賬戶提供 CHATS 付款服務時，依照該項授權辦事。

2. I/We hereby confirm that I/we have authorised HKSCC to generate DDIs, EPIs, CPIs and/or such other instructions on my/our behalf for the purposes of HKD money settlement of my/our transactions under CCASS to transfer funds from the Account to such beneficiaries as shall be specified in the DDIs, EPIs, CPIs and/or such other instructions.

本人/吾等確認本人/吾等已授權結算公司代本人/吾等就中央結算系統內的款項交收發出直接扣賬指示、電子付款指示、CHATS 付款指示及/或其他指示，將款項從該賬戶轉賬予直接扣賬指示、電子付款指示、CHATS 付款指示及/或其他指示所指定的受益人。

3. I/We agree that the Bank shall not be obliged to ascertain whether or not notice of any such transfer has been given to me/us.

本人/吾等同意該銀行毋須證實所有這些轉賬通知是否已交予本人/吾等。

4. I/We jointly and severally accept full responsibility for any overdraft (or increase in existing overdraft) on the Account which may arise as a result of any transfer(s) made pursuant to the authorisations set out herein.

本人/吾等願就該賬戶基於此授權書進行的任何轉賬所可能出現的透支(或令現時的透支增加)，共同及各別承擔全部責任。

5. I/We agree that should there be insufficient funds in the Account to meet any transfer hereby authorised, the Bank shall be entitled, at its discretion, not to effect such transfer in which event the Bank may make the usual charge, and that it may cancel this authorisation at any time upon giving three working days’ written notice to HKSCC and me/us.

本人/吾等同意，倘若該賬戶無足夠款項支付該等獲授權進行的任何自動轉賬付款指示的相關轉賬，該銀行有權決定不予轉賬，並可收取一般手續費，又可隨時向結算公司及本人/吾等發出三個工作天的書面通知，取消接受此授權書。

6. I/We agree that the Bank shall not in any event be liable to me/us for failure to effect transfers from the Account in accordance with such instructions it may receive from HKSCC unless the Bank fails to act in good faith or there is wilful misconduct or fraud on the part of the Bank.

本人/吾等同意，除非該銀行未能忠誠辦事，或該銀行涉及蓄意行為為不當或欺詐行為，否則，即使該銀行未能按照結算公司發出的付款指示，接受及履行從該賬戶轉賬，該銀行在任何情況下均毋須對本人/吾等負責。

7. I/We hereby authorise the Bank to disclose to HKSCC any information obtained by the Bank relating to returned DDIs, EPIs, CPIs and/or such other instructions relating to the Account and any matters relating thereto in such format and through such means as shall from time to time be prescribed by HKSCC.

本人/吾等謹此授權該銀行按照結算公司不時指定的格式及途徑，向結算公司申報任何有關該賬戶的退回直接扣賬指示、電子付款指示、CHATS 付款指示及/或其他指示及其他有關資料。

8. I/We agree that the Bank shall not in any event be liable to me/us for a failure to disclose any information to HKSCC requested from time to time by HKSCC unless the Bank fails to act in good faith or there is wilful misconduct or fraud on the part of the Bank.
本人/吾等同意，除非該銀行未能忠誠辦事，或該銀行涉及蓄意行為不當或欺詐行為，否則，即使該銀行未能向結算公司申報任何其不時規定的資料，該銀行在任何情況下均毋須對本人/吾等負責。
9. I/We acknowledge that once instructions are sent to the Bank by HKSCC, I/we shall have no right to stop payment relating to those instructions.
本人/吾等確認，一旦該銀行已收到結算公司的指示，本人/吾等將無權停止與該等指示有關的付款。
10. I/We agree that any notice of cancellation or variation of these authorisations which I/we may give to the Bank shall be given at least seven working days prior to the date on which such cancellation/variation is to take effect.
本人/吾等同意，本人/吾等如欲取消或更改此等授權，應於取消或更改生效前最少七個工作天通知該銀行。
11. This authorisation form is governed by the laws of the Hong Kong Special Administrative Region of the People's Republic of China.
此授權書須受中華人民共和國香港特別行政區法律制約。
12. This authorisation form is written in English with a translation in Chinese. In case of any conflict in meaning, the English version shall prevail.
此授權書的中英文本內容如有歧異，當以英文本為準。

Name of party to be credited 收款人	Bank No. 銀行編號	Branch No. 分行編號	Account No. to be credited 收款賬戶編號
Hong Kong Securities Clearing Company Limited ("HKSCC") 香港中央結算有限公司(「結算公司」)	0 0 4	6 0 0	3 9 8 1 6 8 0 0 1
	0 0 4	6 0 0	3 9 8 1 6 8 0 0 5

Bank Account Details by Customer (Please complete all items, except for the Debtor's Reference, in English block letters) 由客戶填寫的銀行賬戶資料 (請用英文正楷填寫全部所需資料,「付款人備考」一欄除外)			
My/Our Bank Name and Branch (See Note 1 below) 本人/吾等的銀行及分行名稱 (請參閱下述附註 1)	Bank No. 銀行編號	Branch No. 分行編號	Bank Account No. 銀行賬戶編號
	(See Note 2 below 請參閱下述附註 2)		
My/Our Account Name as recorded on bank statement or passbook (See Note 3 below) 本人/吾等在銀行結單或存摺上所記錄的賬戶名稱 (請參閱下述附註 3)	My/Our signature(s) (See Note 5 below) 本人/吾等的簽名 (請參閱下述附註 5) (Please sign in the usual way as you would sign on your Bank Account) (在此授權書內的簽名須與銀行賬戶所簽的完全相同)		
Day Time Contact Tel No. 日間聯絡電話號碼			
Debtor's Reference (For HKSCC Use Only – See Note 4 below) 付款人備考 (此欄為結算公司專用- 請參閱下述附註 4)	Date 日期:		

For Bank Use Only 銀行專用

Notes 附註：

- 1) The bank designated by the customer on this form must be selected from the "List of Designated Banks for CCASS Investor Participants (Hong Kong Dollar "HKD")" issued by HKSCC from time to time. If the bank currently does not provide HKD CHATS payment service to Investor Participants of CCASS, this form would also request the bank to record the customer's authorisation set out in clause 1.c as valid and to act on the authorisation if and when the bank elects to provide the HKD CHATS payment service to the customer.
客戶在此授權書內指定的銀行，必須是揀選自結算公司不時發出的《中央結算系統投資者戶口持有人之指定銀行名單(港幣)》。若客戶所選擇的銀行現時不提供港幣 CHATS 付款服務給中央結算系統的投資者戶口持有人，此授權書亦同時要求該銀行保留客戶在第 1.c 條款所述的授權，並在該銀行決定為客戶提供港幣 CHATS 付款服務時，依照該授權辦事。
- 2) In general, this bank account must be a Hong Kong Dollar Current Account. Hong Kong Dollar Passbook or Statement Savings Account may be used by the customer only if it is acceptable to the designated bank as specified in the "List of Designated Banks for CCASS Investor Participants (Hong Kong Dollar "HKD")".
一般來說，此銀行賬戶必須是一個港幣往來戶口。若個別銀行接受，並列明在《中央結算系統投資者戶口持有人之指定銀行名單(港幣)》內，客戶亦可使用港幣普通或簡便儲蓄戶口。
- 3) The Account Name must be agreed with the name of the applicant for opening an Investor Account with HKSCC. For investors wishing to open a Joint Individual Investor Account with HKSCC, the Account Name must be in the names of all joint individuals.
此賬戶名稱必須與申請於結算公司開設投資者戶口的申請人的姓名相同。投資者欲於結算公司開設聯名投資者戶口，該賬戶名稱必須是所有聯名人士的姓名。
- 4) "Debtor's Reference" is the same as the customer's "Participant ID" in CCASS.
「付款人備考」與客戶在中央結算系統內的「參與者編號」相同。
- 5) Corporate account holder must affix its company chop, if applicable. If the authorised signatories of the Account have been assigned different signing amount limits, this form must be signed by the signatory/signatories assigned with the maximum amount limit. Joint account holder must sign in accordance with the signing instruction recorded in the bank mandate for joint account.
公司賬戶持有人必須蓋上公司印鑑，如適用。若該賬戶的獲授權簽署人之簽署權限有不同的金額限制，此授權書必須由被賦予最高金額簽署權的簽署人簽署。聯名賬戶持有人必須按照其銀行聯名賬戶授權書所載的簽署指示來簽署。

List of Designated Banks for CCASS Investor Participants (Hong Kong Dollar "HKD")
中央結算系統投資者戶口持有人的指定銀行名單(港幣)

IMPORTANT NOTES 重要提示:

- The following banks are approved by Hong Kong Securities Clearing Company Limited (HKSCC) to act as Designated Banks of Investor Participants for CCASS HKD money settlement purposes.
下列銀行為結算公司批准可為中央結算系統投資者戶口持有人以港幣進行中央結算系統款項交收的指定銀行。
- They all accept HKD Current Account and some of them also accept other types of bank account for CCASS money settlement.
Individual Designated Bank may charge their customers for setting up CCASS money settlement arrangement. Investor Participants are advised to contact their designated banks for the details of setup charge.
以下所有銀行接受港幣支票戶口，而部份銀行亦接受其他類別的銀行戶口，來進行中央結算系統款項交收。個別指定銀行可能就設立中央結算系統款項交收安排向其客戶收取費用。建議投資者戶口持有人聯絡指定銀行查詢有關設立款項交收安排之費用。
- The Clearing House Automated Transfer System (CHATS) payment service to allow Investor Participants to use the Realtime Delivery versus Payment (RDP) method for CCASS money settlement is only provided by certain banks as indicated below.
如下表所顯示，只有一部份銀行提供「票據交換所自動轉賬系統」付款服務，讓投資者戶口持有人以「即時貨銀對付」方法進行中央結算系統款項交收。

No. 編號	Bank Name 銀行名稱	Bank No. 銀行編號	Acceptable Types of Bank Account 所接受的銀行戶口類別 (√ = Yes 接受 · X = No 不接受)			Provide CHATS Payment Service 提供「票據交換所 自動轉賬系統」付款服務 (√ = Yes 提供 · X = No 不提供)
			HK\$ Current A/C 港幣支票戶口	HK\$ Passbook Savings A/C 港幣簿仔儲蓄戶口	HK\$ Statement Savings A/C 港幣結單儲蓄戶口	
1.	BANK OF CHINA (HONG KONG) LTD 中國銀行(香港)有限公司	012	√	√	√	√
2.	BANK OF COMMUNICATIONS CO LTD 交通銀行股份有限公司	027	√	X	X	√
3.	CHINA CITIC BANK INTERNATIONAL LTD 中信銀行(國際)有限公司	018	√	√	√	√
4.	CHINA CONSTRUCTION BANK (ASIA) CORPORATION LTD 中國建設銀行(亞洲)股份有限公司	009	√	√	√	√
5.	CHINA MERCHANTS BANK CO LTD 招商銀行股份有限公司	238	√	X	X	√
6.	CHINA MINSHENG BANKING CORP., LTD. 中國民生銀行股份有限公司	353	√	X	√	√
7.	CHIYU BANKING CORPORATION LTD 集友銀行有限公司	039	√	X	X	X
8.	CHONG HING BANK LTD 創興銀行有限公司	041	√	X	X	√
9.	DAH SING BANK LTD 大新銀行有限公司	040	√	X	X	X
10.	DBS BANK (HONG KONG) LTD 星展銀行(香港)有限公司	016	√	√	X	X
11.	DBS BANK LTD	185	√	X	√	√
12.	FUBON BANK (HONG KONG) LTD 富邦銀行(香港)有限公司	128	√	X	X	√

List of Designated Banks for CCASS Investor Participants (Hong Kong Dollar “HKD”)
中央結算系統投資者戶口持有人的指定銀行名單(港幣)

No. 編號	Bank Name 銀行名稱	Bank No. 銀行編號	Acceptable Types of Bank Account 所接受的銀行戶口類別 (√ = Yes 接受 · X = No 不接受)			Provide CHATS Payment Service 提供「票據交換所 自動轉賬系統」付款服務 (√ = Yes 提供 · X = No 不提供)
			HK\$ Current A/C 港幣支票戶口	HK\$ Passbook Savings A/C 港幣簿仔儲蓄戶口	HK\$ Statement Savings A/C 港幣結單儲蓄戶口	
13.	HANG SENG BANK LTD 恒生銀行有限公司	024	√	Only applicable to HK\$ Savings A/C of: 1) Bank Smart A/C 2) Bank-in-One A/C 3) Prestige Banking A/C 只適用於以下戶口屬下的港幣儲蓄戶口: 1) 「理財名策戶口」 2) 「縱橫理財戶口」 3) 「優越理財戶口」		X
14.	INDUSTRIAL AND COMMERCIAL BANK OF CHINA (ASIA) LTD 中國工商銀行(亞洲)有限公司	072	√	√	√	√
15.	ING BANK N.V. 荷蘭商業銀行	145	X	X	√	√
16.	MALAYAN BANKING BERHAD 馬來亞銀行	063	√	X	X	√
17.	NANYANG COMMERCIAL BANK LTD 南洋商業銀行有限公司	043	√	X	X	X
18.	OCBC WING HANG BANK LTD 華僑永亨銀行有限公司	035	√	X	√	√
19.	PUBLIC BANK (HONG KONG) LTD 大眾銀行(香港)有限公司	028	√	√	√	√
20.	SHANGHAI COMMERCIAL BANK LTD 上海商業銀行有限公司	025	√	√	√	√
21.	STANDARD CHARTERED BANK (HONG KONG) LTD 渣打銀行(香港)有限公司	003	√	X	X	√
22.	THE BANK OF EAST ASIA LTD 東亞銀行有限公司	015	√	√	√	√
23.	THE HONGKONG AND SHANGHAI BANKING CORPORATION LTD 香港上海滙豐銀行有限公司	004	√	Only applicable to HK\$ Savings A/C of: 1) HSBC Premier with Intergrated A/C 2) PowerVantage A/C 3) Business Vantage A/C 只適用於以下戶口屬下的港幣儲蓄戶口: 1) 卓越理財(綜合理財戶口) 2) 「運籌」理財戶口 3) 「商業」理財戶口		X
24.	UNITED OVERSEAS BANK LTD 大華銀行	071	√	X	X	X
25.	WING LUNG BANK LTD 永隆銀行有限公司	020	√	X	X	√

Your request will normally be processed by HKSCC in three working days upon receipt of your form.
結算公司將於收到貴戶的表格後三個工作天內處理貴戶的要求。

To: Hong Kong Securities Clearing Company Limited (“HKSCC”) and 香港中央結算有限公司《結算公司》及
致 Hong Kong Exchanges and Clearing Limited (“HKEX”) 香港交易及結算所有限公司《香港交易所》

Customer Service Centre
1/F, One & Two Exchange Square,
8 Connaught Place, Central, Hong Kong
香港中環康樂廣場8號交易廣場1期及2期1樓客戶服務中心
(Enquiry Tel. No. 查詢電話號碼 2979-7888)

From : _____
English Full Name of Investor Participant
投資者戶口持有人的英文全名
Participant ID: [] [] [] [] [] []
參與者編號

I/We understand that HKSCC has in place a participant shareholding service (“Participant Shareholding Report Service”) for registered users of its website at <https://psh.hkex.com.hk> and for listed issuers whereby information on the shareholding of CCASS Participants in securities listed or traded on The Stock Exchange of Hong Kong Limited will be disclosed to such registered users via the abovementioned website or to listed issuers upon their written requests. I/We further understand that effective on or about 28 April 2008, HKEX is introducing a CCASS shareholding search service (“CCASS Shareholding Search”) for members of the public who may, via the designated issuer website at <http://www.hkexnews.hk> or by written submission to HKEX request for the disclosure of information on the shareholding of CCASS Participants (other than non-consenting Investor Participants) in securities listed or traded on The Stock Exchange of Hong Kong Limited. 本人/吾等明白結算公司已提供一參與者持股紀錄查詢服務《參與者持股紀錄查詢服務》予其網址<https://psh.hkex.com.hk>的註冊使用者及上市公司，而經上述所指的網址向註冊使用者或經書面要求向上市公司披露中央結算系統參與者於香港聯合交易所上市股份的持股量。本人/吾等亦明白大約於2008年4月28日香港交易所計劃推出一中央結算系統持股紀錄查詢服務《中央結算系統持股紀錄查詢服務》予公眾人士，公眾人士可透過上市公司資料的專門網站<http://www.hkexnews.hk>或向香港交易所提交書面要求，向該公眾人士披露中央結算系統參與者（不願意披露的投資者戶口持有人除外）於香港聯合交易所上市股份的持股量。

Without prejudice to any consent that I/we may have given previously in connection with the Participant Shareholding Report Service, I/we hereby expressly give my/our consent to the disclosure, use and making available by HKSCC and HKEX of information relating to or derived from my/our account maintained with HKSCC in my/our capacity as an Investor Participant for the purpose of or in connection with the Participant Shareholding Report Service and the CCASS Shareholding Search. I am/We are fully aware that in consenting as aforesaid, information and personal data concerning myself/ourselves (“Information”), including my/our shareholding in securities, name, address and CCASS Participant ID number will or may be made available to the registered users of HKSCC’s website, listed issuers and/or the public. 在不損害本人/吾等在此之前就參與者持股紀錄查詢服務所作出的同意的的情況下，本人/吾等明確表示同意由結算公司及香港交易所就因或有關參與者持股紀錄查詢服務及中央結算系統持股紀錄查詢服務披露、使用及提供本人/吾等以投資者戶口持有人的身份於結算公司戶口的資料。本人/吾等完全明白同意以上安排是表明本人/吾等的資料及個人資料《資料》，包括本人/吾等的股份的持股量、姓名、地址及中央結算系統參與者編號將會或有機會提供予結算公司網頁的註冊使用者、上市公司及/或公眾人士。

I/We understand that my/our Information will continue to be made available to registered users of HKSCC’s website, listed issuers and the public until HKSCC or HKEX has received my/our written notification of revocation of my/our consent. I/We further understand that despite such revocation and the discontinuation of the disclosure or use of my/our Information within a reasonable period after HKSCC or HKEX’s receipt of the notification, those Information that was or could have been disclosed or made available in connection with any of my/our shareholding prior to such discontinuation will remain viewable and accessible by registered users of HKSCC’s website, listed issuers and the public. 本人/吾等明白本人/吾等的資料會仍然繼續提供予結算公司網頁的註冊使用者、上市公司及公眾人士直至結算公司或香港交易所收到本人/吾等撤銷資料披露的書面通知。本人/吾等亦同時明白在結算公司或香港交易所收到本人/吾等的就有關撤銷及終止披露或使用本人/吾等的資料的書面通知的一段合理的時間內，結算公司網頁的註冊使用者、上市公司及公眾人士仍可檢視及取得在此之前已披露或提供有關本人/吾等的資料。

Signed by the Investor Participant 投資者戶口持有人簽署：

(If you are a Joint Individual Investor Participant, all joint individuals must sign. If you are a Corporate Investor Participant, your authorised signatory(ies) must sign and affix company chop ONLY if it forms part of your signing instruction. 如貴戶為聯名投資者戶口持有人，所有聯名人士必須簽署。若為公司投資者戶口持有人，則必須由貴戶的獲授權簽署人士簽署，而加蓋公司印鑑只適用於該印鑑為貴戶簽署指示的一部分。)

Signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction)

簽名 (連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分)

Date Signed 簽署日期: _____

For Office Use Only			
Signature Verified By:	Inputted By:	Checked By:	Report Checked By:

Notes on Personal Information Collection 收集個人資料之說明

Please refer to the hyperlink (http://www.hkex.com.hk/eng/prod/clr/sec_clrsett/ipacctsvc/documents/npic.pdf) to access the statement “NOTES ON PERSONAL INFORMATION COLLECTION” made by HKSCC in accordance with the Personal Data (Privacy) Ordinance of the Hong Kong Special Administration Region. 請查閱相關超連結(http://www.hkex.com.hk/chi/prod/clr/sec_clrsett/ipacctsvc/documents/npic.pdf)以獲取結算公司就香港特別行政區所頒布《個人資料(私隱)條例》而發出的“收集個人資料之說明”。

IPF20 (Mar 17)

Remark: It is **NOT** necessary to sign and return the form if you do not wish to make your Information available to the registered users of HKSCC’s website, listed issuers and the public. 注意：若閣下不願意提供其資料予結算公司的註冊使用者、上市公司及公眾人士，則**無需**簽署及交回此表格。

Checklist for Opening an Individual Investor Account in CCASS
申請於中央結算系統內開立「個人投資者戶口」清單

1 CHECK if you have
閣下是否已

- completed, signed and dated the Individual Investor Account Opening Form
填妥個人投資者開戶表格，簽署及寫上日期
- completed, signed and dated the Investor Participant Self-Certification Form
填妥投資者戶口持有人聲明書，簽署及寫上日期
- completed the “Investor Participant Debit Authorisations and Authorisation to Disclose Information Form” and sign in the same manner as your bank record
填妥投資者戶口持有人扣賬授權及資料申報授權書，並按銀行紀錄簽署
- attached photocopy of each of the following documents
隨附下列文件的影印本
 - latest bank statement (or cheque) or relevant page of passbook showing the account name and number of the Hong Kong dollar account as specified in the above debit authorisation form
註明閣下在上述扣賬授權書內填寫的港幣戶口的賬戶名稱及編號的銀行結單〔或支票〕或存摺內頁
 - front and back page of your Hong Kong Identity Card or Macau Resident Identity Card
閣下的香港或澳門居民身份證正/背面
 - residential address proof such as government/utility bill, management office invoice, bank statement, statement issued by a brokerage firm licensed by SFC, statement issued by an authorized insurer, mobile phone or pay TV statement showing the applicant’s name and residential address which issued within three calendar months from the date of application is submitted.
註明申請人姓名及居住地址證明文件，如政府/公用設施單據、管理費單、銀行結單、證監會規管之持牌經紀公司結單、獲授權保險人結單、流動電話或收費電視結單；該等證明文件必須在申請人遞交開戶表格當日前的三個月內發出。

2 SUBMIT your application in person or by mail to:
親身遞交或郵寄申請致

HKSCC Customer Service Centre
Address: 1/F, One & Two Exchange Square, 8 Connaught Place, Central, Hong Kong
Operating Hours: Monday to Friday 9:00 am to 6:00 pm
結算公司客戶服務中心
地址：香港中環康樂廣場8號交易廣場1期及2期1樓
服務時間：星期一至五 上午九時至下午六時

3 CALL CCASS Investor Service Enquiry Hotline 2979 7000 for enquiry
如有任何查詢，請聯絡投資者服務查詢熱線2979 7000。