



本地證券 – 客戶同意意向更新表格 (只適用於非個人客戶)

Local Securities – Client Consent Status Update Form (For Non Personal Customers Only)

致：恒生銀行有限公司 (「銀行」或「本行」)
To: Hang Seng Bank Limited (“the Bank”)

請以正楷填寫，在適當方格內加上“√”。填妥表格後交回閣下的客戶經理或本行任何一間商務理財中心。

Please complete in BLOCK LETTERS, “√” where appropriate. Please return the completed form to your relationship manager or any of our Business Banking Centres.

甲部 Part A – 重要事項 Important Information

為了遵守不時生效的香港聯合交易所(「聯交所」)及證券及期貨事務監察委員會(「證監會」)的相關規則和規定，本行將會收集、儲存、處理、使用、披露及轉移你的客戶資料(包括向(1)聯交所及/或(2)證監會及/或(3)香港中央結算有限公司(「香港結算」)披露及轉移香港投資者識別碼制度、場外證券交易匯報制度及Fast Interface for New Issuance(「FINI」)下的身份代號—你的客戶識別信息及券商客戶編碼)。你並需按證監會要求的客戶識別信息優先次序提供及持續更新以提供準確及最新的客戶資料給本行。

For complying with related rules and requirements of Stock Exchange of Hong Kong (“SEHK”) and Securities and Futures Commission (“SFC”) in effect from time to time, the Bank will collect, store, process, use, disclose and transfer your client data (including disclosing and transferring your Client Identification Data (“CID”) and Broker-Client Assigned Number (“BCAN”), which are identifiers under respective regimes, namely Hong Kong Investor Identification Regime (“HKIDR”), Over-the-counter Securities Transactions Reporting Regime (“OTCR”) and Fast Interface for New Issuance (“FINI”), to (1) SEHK and/or (2) SFC and/or (3) Hong Kong Securities Clearing Company Limited (“HKSCC”). You are required to provide and maintain accurate and most up to date client data following the order of priority for identity document type as specified by the SFC with the Bank.

客戶資料(包括識別信息及券商客戶編碼)之處理

Processing of Client Data (including CID and BCAN)

本行的非個人客戶會被視為同意本行可收集、儲存、處理、使用、披露及轉移與你有關的客戶資料(包括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：

The Bank’s non-personal clients are deemed to agree that the Bank may collect, store, process, use, disclose and transfer your client data (including your CID and BCAN(s)) as required for the Bank to provide services to you in relation to securities listed or traded on the SEHK and for complying with the rules and requirements of SEHK and 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，向有關監管機構(包括但不限於聯交所及/或證監會)披露及轉移你的客戶資料(包括客戶識別信息及券商客戶編碼)；
disclosing and transferring your client data (including CID and BCAN(s)) to relevant regulators (including but not limited to SEHK and/or SFC) in accordance with the rules and requirements of SEHK and SFC in effect from time to time;
- b) 允許聯交所：(i)收集、儲存、處理及使用你的客戶資料(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；
allowing SEHK to: (i) collect, store, process and use your client 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;
- c) 允許證監會：(i)收集、儲存、處理及使用你的客戶資料(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；及
allowing SFC to: (i) collect, store, process and use your client 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; and
- d) 向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你的客戶識別信息，及向發行人的股份過戶登記處轉移你的客戶識別信息，以便核實你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)處理及儲存你的客戶識別信息，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你的客戶識別信息，以便處理你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。
providing BCAN to HKSCC allowing HKSCC to: (i) 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) 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.

甲部 Part A – 重要事項(續) Important Information (Cont.)

如果本行無法按要處理客戶資料(包括客戶識別信息及券商客戶編碼)(例如,如果你未能或拒絕向銀行提供或更新你的客戶識別信息或不同意本行處理你的客戶識別信息及券商客戶編碼),本行將無法向你提供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,本行不會執行你的買入指令或交易。在場外證券交易匯報制度下,本行不會將股份轉入或將實體股票證書存入你的帳戶。在FINI下,你的新股認購申請可能不獲接受)。

If the Bank cannot process client data (including your CID and BCAN(s)) as required (e.g. if you fail or refuse to provide or update the Bank your CID or does not agree to the Bank's processing of your CID and BCAN), the Bank will not be able to provide certain services to you in relation to securities listed or traded on SEHK. (e.g. under the HKIDR, the Bank will not submit any buy orders or trades to SEHK for you. Similarly, under OTCR, the Bank will not effect transfers of shares or deposits of physical shares certificate into your account. Further, under FINI, your IPO application may not be accepted.)

如欲了解更多有關香港投資者識別碼制度及場外證券交易匯報制度,請瀏覽證監會或香港交易所網頁。有關FINI平台,請瀏覽香港交易所網頁。有關本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<https://www.hangseng.com/zh-hk/business/scale-your-business/investment-securities-services-investor-id.html>。

To find out more details about HKIDR or OTCR, please visit SFC and HKEX's website. For more details about FINI, please visit HKEX's website. For more details about the Bank's arrangement regarding HKIDR and OTCR, please visit <https://www.hangseng.com/en-hk/business/scale-your-business/investment-securities-services-investor-id.html>.

乙部 Part B – 客戶資料 Customer Information

客戶姓名
Name of Customer

公司註冊號碼¹
Registration No.¹

註
Note :

1. 請填寫於開戶時向銀行所提供的公司註冊號碼(即公司註冊證書、商業登記證或其他登記證明號碼)
Please fill in the registration no. provided to the Bank during account opening (i.e. Certificate of Incorporation, Business Registration Certificate or Other Registration number)

丙部 Part C – 客戶同意意向 Client Consent

客戶資料(包括客戶識別信息及券商客戶編碼)之處理 Processing of Client Data (including CID and BCAN)

(請於以下二者選其一 Please choose either one from below)

本人(等)同意銀行如以上「重要事項」部分所述般處理及向有關監管機構(包括但不限於香港聯合交易所(「聯交所」)、證券及期貨事務監察委員會(「證監會」)及香港中央結算有限公司(「香港結算」))披露本人(等)在香港投資者識別碼制度、場外證券交易匯報制度及Fast Interface for New Issuance(「FINI」)下的身份代號-本人(等)的客戶識別信息²及券商客戶編碼。本人(等)承諾如本人(等)的客戶資料於日後有所變更,本人(等)將立即以書面形式通知及提供最新的客戶資料予銀行。
I/We agree the Bank to process and disclose my/our client identification data (“CID”)² and Broker-Client Assigned Number (“BCAN”), which are identifiers under respective regimes, namely Hong Kong Investor Identification Regime (“HKIDR”), Over-the-counter Securities Transaction Reporting Regime (“OTCR”) and Fast Interface for New Issuance (“FINI”), to relevant regulators (including but not limited to the Stock Exchange of Hong Kong (“SEHK”) and/or the Securities and Futures Commission (“SFC”) and/or Hong Kong Securities Clearing Company Limited (HKSCC)), as set out in the Important Information section above. I/We undertake to immediately notify in writing and provide the latest client data to the Bank should there be any change in my/our client data at any future time.

本人(等)不同意銀行如以上「重要事項」部分所述般處理及向有關監管機構(包括但不限於聯交所、證監會及香港結算)披露本人(等)在香港投資者識別碼制度、場外證券交易匯報制度及FINI下的身份代號-本人(等)的客戶識別信息²及券商客戶編碼。本人(等)明白在香港投資者識別碼、場外證券交易匯報制度及/或FINI實施後,銀行將無法向本人(等)提供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,銀行不會執行本人(等)的買入指令或交易。在場外證券交易匯報制度下,銀行不會將股份轉入或將實體股票證書存入本人(等)的帳戶。在FINI下,本人(等)的新股認購申請可能不獲接受。)本人(等)明白及接受該不同意的後果,包括在香港投資者識別碼制度推出後,本人(等)於本指示獲成功處理後的下個香港股票交易日起只可出售、轉出或提取本人(等)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。
I/We DO NOT agree the Bank to process and disclose my/our client identification data (“CID”)² and BCAN, which are identifiers under respective regimes, namely HKIDR, OTCR and FINI, to relevant regulators (including but not limited to SEHK and/or SFC and/or HKSCC). I/We understand the Bank will no longer be able to provide certain services to me/us in relation to securities listed or traded on SEHK after the launch of HKIDR, OTCR and/or FINI. (e.g. under the HKIDR, the Bank will not submit any buy orders or trades to SEHK for me/us. Under OTCR, the Bank will not effect transfers of shares or deposits of physical share certificates into my/our account. Under FINI, my/our initial public offering (“IPO”) application may not be accepted.) I/We understand and accept the consequences of such disagreement, including that after the launch of HKIDR, I am/we are only eligible to sell, transfer out or withdraw my/our existing holdings of local securities, if any, starting from next Hong Kong stocks trading day after this instruction is processed successfully; and if there is any outstanding buy order on local securities, it will be cancelled.

丙部 Part C – 客戶同意意向(續) Client Consent (Cont.)

授權簽署人簽署
Signature(s) of Authorised Signatory

S.V.

X

請用留存銀行的印鑑簽署 Please use signature(s) / chop(s) filed with the Bank

授權簽署人姓名
Name of Authorised Signatory

日期(日/月/年)
Date(DD/MM/YY)

註
Note :

- 銀行將於收到此確認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 confirmation from the Customer.
- 客戶識別信息包括客戶名稱、其身份證明文件的簽發司法管轄區、類別及號碼。若於銀行紀錄的客戶識別信息是完整及有效的，銀行會在香港投資者識別碼制度實施後將客戶識別信息及券商客戶編碼送至聯交所。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情況。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。請查詢指示處理狀況及同意處理情況。
The client identification data to be sent include client's name, identity document issuing jurisdiction ID type and ID number of the Customer. If the client identification data maintained with the Bank is complete and valid, the Bank will send the CID and BCAN to the SEHK after HKIDR is implemented. Upon receipt of confirmation from SEHK on the registration, the Bank shall update the 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.

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

分行編號 Branch No.		職員簽署 Staff Signature
聯絡電話 Contact Tel		
HKMA登記編號 HKMA Registration No.		
日期 (日/月/年) Date (DD/MM/YY)		

X
(Name in block letters)

S.V.