

To: Hermes Securities Limited (SFC CE No.: AEU219) , Unit 2810, 28/F, China Merchants Tower, Shun Tak Centre, 168-200 Connaught Road Central, Hong Kong

致：凱敏證券有限公司（香港證監會中央編號：AEU219）香港中環干諾道中 168-200 號信德中心招商局大廈 28 樓 2810 室

Please sign and return this acknowledgement and consent letter to our company by mail or by email to **joyip@vhermes.com**.

請簽署並以郵寄或電郵致 **joyip@vhermes.com** 方式遞交本確認和同意書至本公司。

## 確認和同意

### Acknowledgement and Consent

本人/吾等在此確認本人/吾等已閱讀並理解凱敏證券有限公司的香港投資者識別碼制度及場外證券交易匯報制度個人資料收集聲明的內容。通過勾選下面的方框，本人/吾等表示本人/吾等同意凱敏證券有限公司根據“個人資料收集聲明”中的條款和目的使用本人/吾等的個人資料。

I/We hereby acknowledge I/We have read and understand the content of the Personal Information Collection Statement Concerning HKIDR and the OTCR of Hermes Securities Limited. By ticking the box below, I/We signify my/our consent for Hermes Securities Limited to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement Concerning HKIDR and the OTCR.

- 本人/吾等同意凱敏證券有限公司將本人/吾等之個人資料用於香港投資者識別碼制度及場外證券交易匯報制度個人資料收集聲明的目的。

I/We agree that Hermes Securities Limited use of my/our personal data for the purposes set out in the Personal Information Collection Statement Concerning HKIDR and the OTCR.

\_\_\_\_\_  
客戶簽署及公司印章 (如適用)

Client Signature & Company Chop (if applicable):

客戶名稱 Client Name:

戶口號碼 Account Number:

日期 Date :

## 未能提供個人資料或同意的後/**Consequences of failing to provide Personal Data or Consent**

若您/汝等未能向我們提供您的個人資料或上述同意，根據情況我們將不會或不能執行，您/汝的交易指令或向您提供證券相關服務(除了出售、轉讓或提出您現有的持股證券，如有。)

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**).

## Personal Information Collection Statement Concerning HKIDR and the OTCR

### 香港投資者識別碼制度及場外證券交易匯報制度個人資料收集聲明

您/汝等明白並同意，我們凱敏證券有限公司為了向您/汝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，我們可收集、儲存、處理、使用、披露及轉移與閣下有相關的個人資料(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：

You acknowledge and agree that we Hermes Securities Limited may collect, store, process, use, disclose and transfer personal data relating to you [the client] (including your CID and BCAN(s)) 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:

- (1) 根據聯交所及證監會不時生效的規則及規定，向聯交所及/或證監會披露及傳送您的個人資料(包括客戶識別信息及券商客戶編碼) 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;
- (2) 允許聯交所: (i) 收集、儲存、處理和使用您的個人資料(包括客戶識別信息及券商客戶編碼)，用於市場監督和監控目的以及執行聯交所規則;(ii) 向香港的相關監管機構和執法機構(包括但不限於證監會)披露和轉移該等信息，以促進其履行與香港金融市場相關的法定職能;(iii) 使用此類信息進行分析以進行市場監督。 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
- (3) 允許證監會: (i) 收集、儲存、處理和使用您的個人資料(包括客戶識別信息及券商客戶編碼)，以履行其法定職能包括對香港金融市場的監控、監督和執法職能;(ii) 根據適用法律或監管要求，向香港的相關監管機構和執法機構披露和傳輸此類資料。 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.

您/汝等並同意，儘管您/汝等於日後有任何聲稱撤回同意的行為，但在撤回同意後，您/汝等的個人資料可能會繼續基於上述目的而被儲存、處理、使用、披露或傳輸。 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.

如中、英文版本有任何分歧，一概以英文版為準。 In case of discrepancy between the English version and Chinese version of this statement, the English shall prevail.