



远源證券有限公司

Theia Securities Limited

SFC Licensed Corporation 證監會持牌法團 (CE# 中央編號: BJW079)

Suite 5103, 51/F, Central Plaza, 18 Harbour Road, Hong Kong

香港灣仔港灣道 18 號中環廣場 51 樓 5103 室

Tel 電話: (852) 3168 0320 Fax 傳真: (852) 3168 0330 Email: cs@theiasec.com

有關「香港投資者識別碼制度」及「場外證券交易匯報制度」之個人資料收集聲明

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

帳戶名稱 Account Name		帳戶號碼 Account No.	
-------------------	--	------------------	--

客戶（等）明白並同意，遠源證券有限公司（「遠源證券」）為了向客戶（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，遠源證券可收集、儲存、處理、使用、披露及轉移與客戶（等）有關的個人資料（包括客戶（等）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 -

The client(s) acknowledges and agrees that Theia Securities Limited (THEIA) may collect, store, process, use, disclose and transfer personal data relating to the client(s) (including the Client's CID and BCAN(s)) as required for THEIA to provide services to the client(s) 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客戶（等）的個人資料（包括客戶識別信息及券商客戶編碼）；

(a) disclosing and transferring the client's 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：(i)收集、儲存、處理及使用客戶（等）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

(b) allowing SEHK to: (i) collect, store, process and use the Client's 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) 允許證監會：(i)收集、儲存、處理及使用客戶（等）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(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。

(c) allowing the SFC to: (i) collect, store, process and use the Client's 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.

客戶（等）亦同意，即使客戶（等）其後宣稱撤回同意，遠源證券在客戶（等）宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移客戶（等）的個人資料以作上述用途。



遠源證券有限公司

Theia Securities Limited

SFC Licensed Corporation 證監會持牌法團 (CE# 中央編號: BJW079)

Suite 5103, 51/F, Central Plaza, 18 Harbour Road, Hong Kong

香港灣仔港灣道 18 號中環廣場 51 樓 5103 室

Tel 電話: (852) 3168 0320 Fax 傳真: (852) 3168 0330 Email: cs@theiasec.com

The client(s) also agree that despite any subsequent purported withdrawal of consent by the client(s), the Client's personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

### 未能提供個人資料或同意的後果

#### Consequences of failing to provide Personal Data or Consent

客戶（等）明白如未能向遠源證券提供個人資料或上述同意，遠源證券將只能執行客戶（等）證券帳戶現時持有的香港上市證券的賣出指示或交易，不能執行客戶（等）的香港上市證券買入指令或交易；及遠源證券將只能執行客戶（等）證券帳戶現時持有的上市證券的轉出股份及提取實體股票證書指示，不能執行客戶（等）的香港上市證券股份轉入或將香港上市證券實物股票證書存入客戶（等）的帳戶。

The client(s) acknowledges that failure to provide THEIA with the Client's personal data or consent, THEIA will not, or no longer be able to, as the case may be, carry out the Client's buy instructions or provide the client(s) with securities related services on securities listed or traded on SEHK, other than to sell or carry out instructions on the Client's existing holdings of securities; and THEIA will not, or no longer be able to, as the case may be, accept a transfer of Hong Kong shares into the Client's account(s) or a deposit of physical certificates of Hong Kong shares into the Client's account(s), other than to transfer shares out of the Client's account(s) or withdraw physical certificates of shares out of the Client's account(s).

### 確認及同意

#### Acknowledgement and Consent

本人／我們已閱讀並理解由遠源證券所發佈的聲明之內容。通過勾選下面的方框，本人／我們同意遠源證券根據本聲明的條款和目的使用本人／我們的個人資料。

I /We acknowledge I /We have read and understand the content of this statement issued by THEIA. By ticking the box below, I /We signify my consent THEIA to use my personal data on the terms of and for the purposes set out in this Statement.

本人／我們同意遠源證券將本人／我們的個人資料用於本聲明所述的目的。

I /We agree to THEIA's use of my personal data for the purposes set out in this Statement.

Client Signature 客戶簽署 \_\_\_\_\_

Account Number 賬戶號碼 \_\_\_\_\_

Name 姓名 \_\_\_\_\_

Date 日期 \_\_\_\_\_ dd 日 \_\_\_\_\_ mm 月 \_\_\_\_\_ yy 年