



**Mighty Brokerage (Asia) Limited**

**敏哲证券有限公司**

**个人资料收集声明**

**Personal Information Collection Statement**

Account Name 账户名称 \_\_\_\_\_

Account Number 账户号码 \_\_\_\_\_ Date 日期 \_\_\_\_\_

**投资者标识符及场外证券汇报**

**Investor Identification and OTC Securities Reporting**

阁下明白并同意，敏哲证券有限公司为了向阁下提供与在香港联合交易所（联交所）上市或买卖的证券相关的服务，以及为了遵守不时生效的联交所与证券及期货事务监察委员会（证监会）的规则和规定，本公司可收集、储存、处理、使用、披露及转移与阁下有关的个人资料（包括阁下的客户识别信息及券商客户编码）。在不限制以上的内容的前提下，当中包括：

You acknowledge and agree that Mighty Brokerage (Asia) Limited may collect, store, process, use, disclose and transfer personal data relating to you (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:

- (a) 根据不时生效的联交所及证监会规则和规定，向联交所及 / 或证监会披露及转移阁下的个人资料（包括客户识别信息及券商客户编码）；  
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;
- (b) 允许联交所：  
allowing SEHK to:
  - (i) 收集、储存、处理及使用阁下的个人资料（包括客户识别信息及券商客户编码），以便监察和监管市场及执行《联交所规则》；  
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;
  - (ii) 向香港相关监管机构和执法机构（包括但不限于证监会）披露及转移有关资料，以便他们就香港金融市场履行其法定职能；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) 为监察市场目的而使用有关数据进行分析；及  
use such information for conducting analysis for the purposes of market oversight; and
- (c) 允许证监会：  
allowing the SFC to:
  - (i) 收集、储存、处理及使用阁下的个人资料（包括客户识别信息及券商客户编码），以便其履行法定职能，包括对香港金融市场的监管、监察及执法职能；及  
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) 根据适用法例或监管规定向香港相关监管机构和执法机构披露及转移有关资料。  
disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.

閣下亦同意，即使閣下其后宣称撤回同意，本公司在閣下宣称撤回同意后，仍可继续储存、处理、使用、披露或转移閣下的个人资料以作上述用途。

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.

閣下如未能向敏哲证券有限公司提供个人资料或上述同意，有可能导致本公司不会或不能够再（视情况而定）执行閣下的交易指示或向閣下提供证券相关服务，惟出售、转出或提取閣下现有的证券持仓（如有）除外。

Failure to provide Mighty Brokerage (Asia) Limited 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).

备注：本条文所述的「券商客户编码」及「客户识别信息」具有《证券及期货事务监察委员会持牌人或注册人操守准则》第5.6段所界定的含义。

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.

本人/吾等确认本人/吾等已阅读并明白敏哲证券有限公司个人资料收集声明的内容。通过勾选下面的方框，本人/吾等表示本人/吾等同意/不同意敏哲证券有限公司根据个人资料收集声明中的条款和目的使用本人/吾等的个人资料。

I/We acknowledge I/we have read and understand the content of this Personal Information Collection Statement of Mighty Brokerage (Asia) Limited. By choosing of Agree/Disagree below, I/we signify my/our intention for Mighty Brokerage (Asia) Limited to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

本人/吾等 **同意** 贵公司根据个人资料收集声明中的条款和目的使用本人/吾等的个人资料。

I/we **accept** my/our intention for the company to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

本人/吾等 **不同意** 贵公司根据个人资料收集声明中的条款和目的使用本人/吾等的个人资料。

I/we **do not accept** my/our intention for the company to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

客户签署

Client signature:

\_\_\_\_\_ [S.V.]

(如属聯名户口，须全体户主聯同签署，公司户口需附上决议书。)

(In case of Joint A/C, all account holders should sign. Company A/C should attach resolution of the Board of Director.)