

日期：2022 年 10 月 14 日

有關：香港投資者識別碼制度及場外證券交易匯報制度通知

尊敬的貴客戶：

根據香港證券及期貨事務監察委員會(“證監會”)於 2021 年 8 月發佈的《有關在交易層面上對香港證券市場實施投資者識別碼制度的建議以及為在香港聯合交易所(“聯交所”)上市的股份引入場外證券交易匯報制度的建議的諮詢總結文件》，我們需要向客戶收集最新的客戶識別信息及就收集及處理客戶的個人資料取得客戶的明示同意以符合要求。

更新客戶識別信息（適用於所有客戶）

泓福證券有限公司（簡稱「泓福」或「我們」）需要確保已按證監會要求的優先次序（即除非客戶並無持有該文件，則應使用所提述的下一類文件，如此類推），根據以下身分證明文件類別次序向客戶收集最新的客戶識別信息：

- 就**個人客戶**而言：
(1)香港身份證; (2)國民身分證文件; (3)護照
- 就**公司客戶**而言：
(1)法律實體識別編碼（LEI）登記文件; (2)公司註冊證明書; (3)商業登記證; (4)其他同等文件
- 就**信託客戶**而言：
受託人的客戶識別信息的優先次序應與上述公司或個人客戶的客戶識別信息要求相同
- 就**聯名帳戶客戶**而言：
聯名帳戶內所有客戶的客戶識別信息應該遵循優先次序提供

請注意，證監會嚴格要求客戶根據上述身分證明文件類別的優先次序提供客戶識別信息。客戶請不時向我們提供更新的客戶識別信息，以確保我們保存的客戶識別信息是最新的。

如果客戶之前提供的信息不是最新的，請向我們提供最新的客戶識別信息和身份證明文件的副本（適用於所有客戶）。

同意收集及處理個人資料（只適用於個人客戶）

隨函附上「投資者識別及場外證券匯報制度之客戶資料收集聲明」供閣下簽署，並請閣下盡快將已填妥及簽署之相關聲明經以下途徑交回本公司。

REDFORD SECURITIES LIMITED 泓福證券有限公司



1. 電郵至 info@redfordsec.com
2. 傳真至 **(852) 2866-6804**
3. 郵寄至 泓福證券有限公司 - 香港灣仔港灣道 6 至 8 號瑞安中心 10 樓 1007 室

未能提供個人資料或同意之結果

閣下如未能向本公司提供個人資料或上述同意，可能意味著本公司不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

若閣下是 非個人客戶 或 已簽回「投資者識別及場外證券匯報制度之客戶資料收集聲明」的個人客戶，並確認提供給我們的客戶識別信息是最新的，並且符合證監會規定的優先次序提供，則您無需回覆。

如有任何查詢，請於辦公時間致電 (852) 3589-0909 與客戶主任查詢。謝謝。

泓福證券有限公司 敬上
(此乃電腦編印文件，毋需簽署。)



Date : 14 Oct 2022

Notice of the Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR)

Dear Valued Customers,

With reference to the consultation conclusions on proposals to implement an investor identification regime (“HKIDR”) at trading level for the securities market in Hong Kong and introduce an over-the-counter securities transactions reporting regime (“OTCR”) for shares listed on the Stock Exchange of Hong Kong (“SEHK”) issued by the Securities and Futures Commission (“SFC”) in August 2021, updated client identification data and consent for the collection and handling of personal data are required to collect from you to fulfil the requirements.

Update of client identification data (Applicable to all clients)

Redford Securities Limited (“RSL” or “we”) are required to obtain the updated client identification data (“CID”) from you according to the order of priority on the identity document type (i.e. waterfall requirement) as required by the SFC as below:

- **Individual clients:**
(1) HKID card; (2) National identification document; (3) Passport
- **Corporate clients:**
(1) Legal Entity Identifier (“LEI”) registration document; (2) Certificate of incorporation; (3) Business registration certificate; (4) other relevant documents
- **Trust account clients:**
CID waterfall of trustee should be the same as that of a corporate or individual client as set out above
- **Joint account clients:**
CID for all clients named for a joint account should be provided according to the above CID waterfall

Please note that the SFC strictly requires the provision of identity document type according to the above waterfall. You are also required to provide us updated CID from time-to-time to ensure that CID maintained by us is up-to-date.

REDFORD SECURITIES LIMITED 泓福證券有限公司

ADDRESS 地址 Room 1007, 10/F, Shui On Centre, 6-8 Harbour Road, Wan Chai, Hong Kong 香港灣仔港灣道6至8號瑞安中心10樓1007室
TEL 電話 +852 3589 0909 **FAX 傳真** +852 2866 6804 **WEBSITE 網址** www.redfordsec.com



if the information provided previously is not up-to-date, please provide us the latest client identification data and a copy of your identification document (Applicable to all clients).

Consent for the collection and handling of personal data (Applicable to individual clients only)

Please acknowledge the client consent on the collection and processing of personal data by signing the attached “**Personal Information Collection Statement concerning Investor Identification and OTC Securities Reporting Regime**” and return the completed and duly signed consent to our Company through the following channels as soon as possible.

1. Email to: info@redfordsec.com ;or
2. Fax to **(852) 2866-6804** ; or
3. Postal to: **Redford Securities Limited - Room 1007, 10/F, Shui On Centre, 6-8 Harbour Road, Wan Chai, Hong Kong.**

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).**

If you are **non-individual clients** or **individual clients who has signed back the “Personal Information Collection Statement concerning Investor Identification and OTC Securities Reporting Regime”** and confirm that the client identification data provided to us is up-to-date and follows the waterfall requirement imposed by the SFC, you are not required to reply.

If you have any inquiry regarding the above, please feel free to contact the Account Executive at **(852) 3589-0909**.

Yours faithfully,

Redford Securities Limited

This is a computer printout, no signature is required.

REDFORD SECURITIES LIMITED 泓福證券有限公司

ADDRESS 地址 Room 1007, 10/F, Shui On Centre, 6-8 Harbour Road, Wan Chai, Hong Kong 香港灣仔港灣道6至8號瑞安中心10樓1007室
TEL 電話 +852 3589 0909 **FAX 傳真** +852 2866 6804 **WEBSITE 網址** www.redfordsec.com

帳戶號碼 Account No.:	帳戶名稱 Account Name:
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投資者識別及場外證券匯報制度之客戶資料收集聲明

Personal Information Collection Statement concerning Investor Identification and OTC Securities Reporting Regime

客戶（等）明白並同意，泓福證券有限公司（「泓福」）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，泓福可收集、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 Redford Securities Limited ("RSL") may collect, store, process, use, disclose and transfer personal data relating to the client(s) (including CID and BCAN(s)) as required for RSL 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閣下的個人資料（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;

b. 允許聯交所：(i) 收集、儲存、處理及使用閣下的個人資料（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

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

c. 允許證監會：(i) 收集、儲存、處理及使用閣下的個人資料（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。

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.

d. 向香港中央結算有限公司（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閣下的客戶識別信息，及向發行人的股份過戶登記處轉移閣下的客戶識別信息，以便核實閣下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)處理及儲存閣下的客戶識別信息，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閣下的客戶識別信息，以便處理閣下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 Hong Kong Securities Clearing Company Limited (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.

閣下亦同意，即使閣下其後宣稱撤回同意，泓福在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。如閣下未能向泓福提供個人資料或上述同意，可能意味著我們不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

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 by RSL after such purported withdrawal of consent. Failure to provide RSL 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).

備註：有關「券商客戶編碼」及「客戶識別信息」將依據不時修訂的《證券及期貨事務監察委員會持牌人或註冊人操守準則》第5.6段所界定的含義。

Note: The terms "BCAN" and "CID" used in the above-mentioned 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.

確認和同意 Acknowledgment and Consent

本人確認已閱讀並理解由泓福所發布的這份聲明之內容。通過勾選下面的方框，本人表示同意泓福根據本聲明中的條款和目的使用本人的個人資料。

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

☐ 本人同意泓福將本人的個人資料用於本聲明所述的目的。

I agree that RSL may use my personal data for the purposes set out in this statement.

客戶（等）簽署 Signature by Client(s)

日期 Date :

Signature Verified by <Date>	Approved by RO <Date>	Inputted by <Date>	Checked by <Date>