

1/4/2022

Dear Valued Customers,

**The implementation of the Hong Kong Investor Identification Regime and the Over-the-counter Securities Transactions Reporting Regime**

With respect to the implementation the Hong Kong Investor Identification Regime and the Over-the-counter Securities Transactions Reporting Regime, express consent from individual clients is required under paragraphs 5.6(p) and 5.7(h)1 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission (Code of Conduct) for licensed financial institution to transfer of individual client's personal data to the Stock Exchange of Hong Kong (SEHK) and/or the Securities and Futures Commission (SFC).

If the client consent cannot be obtained, under the HKIDR, the licensed or registered person will not submit any BCAN4 or CID5 of that client to SEHK and could only effect sell orders or trades in respect of existing holdings of a listed security (but not buy orders or trades) for that client. The limitation is also applied to the transfers of shares out of and withdrawals of physical share certificates from that client's account, but not transfers of shares or deposits of physical share certificates into that client's account.

Should you understand the nature and impact relating to the implementation of the Hong Kong Investor Identification Regime and the Over-the-counter Securities Transactions Reporting Regime, and agree to express you written consent under the Personal Data (Privacy) Ordinance concerning the transfer and use of your personal information as prescribed, you are cordially invited to sign-off the Letter of Consent enclosed herewith the letter.

Yours faithfully,

Innovax Securities Limited

尊貴的客戶,

**投資者識別碼制度及場外證券交易匯報制度的實施**

根據《證券及期貨事務監察委員會持牌人或註冊人操守準則》（《操守準則》）第5.6(p)及5.7(h)段1，持牌金融機構因應香港投資者識別碼制度及場外證券交易匯報制度下向香港聯合交易所（聯交所）及／或證券及期貨事務監察委員會（證監會）轉移個人客戶的個人資料時，就取得該等客戶的明示同意而須遵從的規定。

在香港投資者識別碼制度下，如未能取得客戶同意，持牌人或註冊人將不會向聯交所提交該客戶的任何券商客戶編碼或客戶識別信息，以及只可以就該客戶現時持有的上市證券執行賣出指令或交易（而非買入指令或交易）。而有關限制亦會影響將股份轉入或將實體股票證書存入該客戶的帳戶，而不影響該客戶從帳戶轉出股份及提取實體股票證書。

如閣下明白因應投資者識別碼制度及場外證券交易匯報制度的內容及其施行帶來的影響，並仍然同意在《個人資料(私隱)條例》的要求之下，就我司在上述情況轉交及使用閣下的個人資料而給予書面同意，我司謹請閣下簽署隨本函附上的同意書並致以真誠的感謝。

順頌

商祺

創隆證券有限公司

To: Innovax Securities Limited  
Unit A-C, 20/F, Neich Tower,  
128 Gloucester Road,  
Wanchai, Hong Kong

Attn: Customer Services

**Consent under the Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR)**

You acknowledge and agree that we, Innovax Securities Limited, may collect, store, process, use, disclose and transfer personal data relating to you, as a customer, (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) 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) 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) 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.

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.

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).

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.

Client Name		Account Number	
Client Signatory		Date:	

致： 創陞證券有限公司  
香港灣仔告士打道128號  
祥豐大廈20樓 A-C室

### **就香港投資者識別碼制度及場外證券交易匯報制度下作出同意**

閣下明白並同意，我們，創陞證券有限公司，為了向閣下，是為客戶，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—

- (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）；
- (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
- (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。

閣下亦同意，即使閣下其後宣稱撤回同意，我們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。

閣下如未能向我們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。

備註：本條文所述的“券商客戶編碼”及“客戶識別信息”具有《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。

客戶姓名:		帳戶號碼:	
客戶簽署:		日期:	