

Supplementary to Section D page 7 of the Account Application (Corporate Account)

帳戶申請 (公司帳戶) D 部分第 7 頁的補充

Personal Information Collection Statement

個人資料收集聲明

The following personal information is to be provided by you on a voluntary basis. However, if you do not provide the required information, EBSHK (as defined below) may take such compliance actions as necessary in order to ensure compliance with the applicable laws and/or regulatory requirements.

上述個人資料的提供為自願性質。但是，如果閣下沒有提供上表中要求的資料，光大新鴻基（其定義如下）可能採取必要的合規行動，以確保遵守適用的法律和/或監管要求。

Where you supply EBSHK with any information (including personal data), you represent and warrant to EBSHK that you have taken all actions necessary to authorize the disclosure of such information to EBSHK and the use by EBSHK of such information pursuant to this personal data collection statement.

當閣下向光大新鴻基集團提供任何資料（包括個人資料）時，閣下向光大新鴻基陳述、聲明並保證，閣下已採取一切必要行動獲授權可向光大新鴻基披露及容許光大新鴻基可按本個人資料收集聲明使用該等資料。

The aforesaid personal information is collected by Everbright Sun Hung Kai Company Limited and its subsidiaries or affiliates including but not limited to China Everbright Securities International Limited and its subsidiaries (together "EBSHK", "EBSHK Group" or "Group"). Such information may be used by EBSHK, the Group's member companies or affiliates for (i) compliance with the applicable laws and/or regulatory requirements including but not limited to the Guidelines for Securities Margin Financing Activities as amended by the Securities and Futures Commission ("SFC") from time to time; (ii) such other purposes as permitted under the relevant personal data schedule of the applicable Client Agreement and Schedules.

閣下在此提供的個人資料由光大新鴻基有限公司及其附屬公司或關聯機構，包括但不限於中國光大證券國際有限公司及其附屬公司（統稱「光大新鴻基」、「光大新鴻基集團」或「本集團」）收集，並會被光大新鴻基、其成員公司或其關聯機構用作(i) 遵守適用的法律和/或監管要求，包括但不限於證券及期貨事務監察委員會（「證監會」）不時修定的“證券保證金融資活動指引”；(ii) 及適用的客戶協議及附件的相關個人資料附件所允許的其他目的。

Your personal data may be disclosed or transferred to the member companies within the EBSHK or their affiliates (including corporations licensed by SFC), and/or their respective service providers for the purposes stated above.

閣下的個人資料可能會被披露或轉移至光大新鴻基的成員公司或其關聯機構（包括獲證監會發牌的持牌法團），及/或其各自之服務供應商作為上述目的之用途。

You have the right to access or correct your personal data held by EBSHK or the Group's member companies in accordance with the Personal Data (Privacy) Ordinance. Such request should be sent in writing to: Everbright Sun Hung Kai Data Privacy Officer, 28/F, Lee Garden One, 33 Hysan Avenue, Causeway Bay, Hong Kong.

閣下有權按個人資料（私隱）條例要求查閱及更正由光大新鴻基或其成員公司保留閣下的個人資料。有關要求須以書面形式提出：香港銅鑼灣希慎道 33 號利園一期 28 樓光大新鴻基個人資料私隱主任收。

3. (a) To the Applicant's best knowledge, does another individual margin client(s) of EBSHK Group[#] (either alone or jointly with his/her spouse) control 35% or more voting rights of the Applicant? 就申請人所知，是否有另一名光大新鴻基集團[#]的個人孖展客戶（單獨或與其配偶）控制申請人 35% 或以上的表決權？

Yes 是 No 否

- (b) If "Yes" is selected in 3(a) above, please provide details of the above-mentioned individual margin client(s):
如果在上述 3(a) 中選擇了「是」，請提供上述個人孖展客戶的詳情：

i) Name Identity Card/Passport/Certificate of Incorporation No.
姓名：_____ 身份證 / 護照 / 公司註冊證書號碼：_____

HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照

Others (Please specify) 其他 (請註明) : _____

ii) Name Identity Card/Passport/Certificate of Incorporation No.
姓名：_____ 身份證 / 護照 / 公司註冊證書號碼：_____

HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照

Others (Please specify) 其他 (請註明) : _____

- (c) To the Applicant's best knowledge, does another corporate margin client(s) of EBSHK Group control 35% or more voting rights of the Applicant or vice versa? 就申請人所知，是否有另一家光大新鴻基集團的公司孖展客戶控制了申請人 35% 或以上的表決權或相反亦然？

Yes 是 No 否

- (d) If "Yes" is selected in 3(c) above, please provide details of the above-mentioned corporate margin client(s):
如果在上述 3(c) 中選擇了「是」，請提供上述公司孖展客戶的詳情：

i) Name Certificate of Incorporation No.
姓名：_____ 公司註冊證書號碼：_____

ii) Name Certificate of Incorporation No.
姓名：_____ 公司註冊證書號碼：_____

4. (a) To the Applicant's best knowledge, does any individual (either alone or jointly with his/her spouse) control 35% or more voting rights of the Applicant? 就申請人所知，是否有任何個人（單獨或與其配偶）控制申請人 35% 或以上的表決權？

Yes 是 No 否

- (b) If "Yes" is selected in 4(a) above, to the Applicant's best knowledge, is the Applicant aware of any other corporate margin client(s) of EBSHK Group of which 35% or more voting rights is controlled by the same above-mentioned individual (either alone or jointly with his/her spouse)? 如果在上述 4(a) 中選擇「是」，就申請人所知，申請人是否知悉有任何其他光大新鴻基集團的公司孖展客戶，其中 35% 或以上的表決權由上述同一個人（單獨或與其配偶）控制？

Yes 是 No 否

(c) If Yes is selected in 4(b) above, please provide details of the above-mentioned corporate margin client(s):

如果在上述 4(b)中選擇了「是」, 請提供上述公司孖展客戶的詳情:

i) Name _____ Certificate of Incorporation No. _____
姓名: _____ 公司註冊證書號碼: _____

ii) Name _____ Certificate of Incorporation No. _____
姓名: _____ 公司註冊證書號碼: _____

5. (a) To the Applicant's best knowledge, is the Applicant a guarantor of other margin client(s) of EBSHK Group for their financial liabilities under any guarantee arrangement(s)? 就申請人所知, 申請人是否在任何擔保安排下為其他光大新鴻基集團孖展客戶的財務負債作為擔保人?

Yes 是 No 否

(b) If "Yes" is selected in 5(a) above, please provide the details of the above-mentioned margin client(s) of EBSHK Group:

如果在上述 5(a)中選擇了「是」, 請提供上述光大新鴻基集團孖展客戶的詳情:

i) Name _____ Identity Card/Passport/Certificate of Incorporation No. _____
姓名: _____ 身份證 / 護照 / 公司註冊證書號碼: _____

HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照

Others (Please specify) 其他 (請註明): _____

ii) Name _____ Identity Card/Passport/Certificate of Incorporation No. _____
姓名: _____ 身份證 / 護照 / 公司註冊證書號碼: _____

HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照

Others (Please specify) 其他 (請註明): _____

(c) To the Applicant's best knowledge, does the Applicant have any financial liabilities under your margin account(s) which are subject to any guarantee arrangement(s)? 就申請人所知, 申請人的孖展帳戶下的財務負債是否有任何擔保安排?

Yes 是 No 否

(d) If "Yes" is selected in 5(c) above, is the above-mentioned guarantor(s) a margin client(s) of EBSHK Group?

如果在上述 5(c)中選擇了「是」, 上述擔保人是否光大新鴻基集團的孖展客戶?

Yes 是 No 否

(e) If "Yes" is selected in 5(d) above, please provide details of the above-mentioned guarantor(s):

如果在上述 5(d)中選擇了「是」, 請提供上述擔保人的詳情:

i) Name _____ Identity Card/Passport/Certificate of Incorporation No. _____
姓名: _____ 身份證 / 護照 / 公司註冊證書號碼: _____

HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照

Others (Please specify) 其他 (請註明): _____

ii) Name _____ Identity Card/Passport/Certificate of Incorporation No. _____
姓名: _____ 身份證 / 護照 / 公司註冊證書號碼: _____

HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照

Others (Please specify) 其他 (請註明): _____

(f) If “No” is selected in 5(d) above, to the Applicant’s best knowledge, is the Applicant aware of other margin client(s) of EBSHK Group whose financial liabilities are guaranteed by the above-mentioned guarantor(s)? 如果上述 5(d)中選擇「否」，就申請人所知，申請人是否知悉有其他光大新鴻基集團孖展客戶，其財務負債由上述同一擔保人作擔保？

Yes 是 No 否

(g) If “Yes” is selected in 5(f) above, please provide the details of the above-mentioned margin client(s) of EBSHK Group: 如果在上述 5(f)中選擇了「是」，請提供上述光大新鴻基集團孖展客戶的詳情：

i) Name _____ Identity Card/Passport/Certificate of Incorporation No. _____
姓名：_____ 身份證 / 護照 / 公司註冊證書號碼：_____

HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照

Others (Please specify) 其他 (請註明) : _____

ii) Name _____ Identity Card/Passport/Certificate of Incorporation No. _____
姓名：_____ 身份證 / 護照 / 公司註冊證書號碼：_____

HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照

Others (Please specify) 其他 (請註明) : _____

By signing below, the undersigned agrees to the terms of the above personal information collection statement. 透過以下簽名，下述簽署人同意上述個人資料收集聲明的條款。

Name of Applicant:
申請人名稱：

Signature of Director:
董事簽署：

Name (in print):
姓名 (正楷)：

ID/Passport No.:
身份證 / 護照：

Date:
日期：

Witnessed by Staff/Licensed Representative of company(ies) of EBSHK Group: 由光大新鴻基集團公司員工 / 持牌代表見證：

Name:
姓名：

Date:
日期：