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POEMS（網頁版本）

由於證監的新規例，客戶系統會陸續收到“投資者識別碼模式-客戶同意書”
煩請客戶看到系統表格顯示時 請按“立即填寫”

投資者識別碼模式 - 客戶同意書

證監會將於2022年下半年在香港證券市場實施投資者識別碼制度（香港投資者識別碼制度）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。

在香港投資者識別制度下，輝立証券(香港)有限公司(「本公司」)會把客戶的身份證明文件資料(包括名稱及身分證明文件號碼、類別及簽發地方)遞交予聯交所的保密資料庫。為遵守《個人資料(私隱)條例》，本公司必須取得其客戶的同意書，才可把客戶的身份證明文件資料交予保密資料庫。關於香港投資者識別碼制度之詳情，請參閱附件投資者識別制度簡介及瀏覽 [證監會網站](#)。

為遵守香港投資者識別碼制度，請完成：

- “（投資者識別碼模式）及個人資料收集聲明 - 客戶同意書”

並根據表格上的指示，提供：

- 有關身份證明文件的資料及副本。

若閣下未能向本公司提供上述資料或同意，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香港證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

稍後提醒

立即填寫

(投資者識別碼模式) 及個人資料收集聲明 - 客戶同意書

處理個人資料作為於香港聯合交易所交易的一部分

您/ 汝等明白並同意，輝立證券(香港)有限公司 (統稱“輝立證券”) 為了向您/ 汝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，輝立證券可收集、儲存、處理、使用、披露及轉移與您/ 汝等有關的個人資料 (包括您/ 汝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：

- (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您/ 汝等的個人資料 (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、處理及使用您/ 汝等的個人資料 (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；
- (c). 允許證監會：
 - (i). 收集、儲存、處理及使用您/ 汝等的個人資料 (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；及
- (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您/ 汝等的客戶識別信息，及向發行人的股份過戶登記處轉移您/ 汝等的客戶識別信息，以便核實您/ 汝等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). 處理及儲存您/ 汝等的客戶識別信息，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您/ 汝等的客戶識別信息，以便處理您/ 汝等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。

您/ 汝等亦同意，即使您/ 汝等其後宣稱撤回同意，輝立證券在您/ 汝等宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移您/ 汝等的個人資料以作上述用途。

您/ 汝等如未能向輝立證券提供個人資料或上述同意，可能意味著輝立證券不會或不能夠再 (視情況而定) 執行您/ 汝等的交易指示或向您/ 汝等提供證券相關服務，惟出售、轉出或提取您/ 汝等現有的證券持倉 (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》

系統填寫版本：

請核對於同意書底部的“個人資料”若資料正確無誤

請 ☒ 和“確認同意。”

個人資料:

身分證英文名字 TAI MAN

身分證英文姓名 CHAN

中文名/身份證明文件上非英文名字 陳大文

香港身份證/國民身份證/護照 A123456(7)

證件簽發國家/地區 香港特別行政區

確認及同意

☒ 本人/吾等確認本人/吾等已經閱讀並理解輝立證券個人資料收集聲明的內容。本人/吾等同意輝立證券根據個人資料收集聲明中的條款和目的使用我的個人資料，以開通香港股票交易。

確認同意

客戶自行填寫版本：

請於同意書底部輸入“個人資料”若資料正確無誤

請 ☒ 和“確認同意。”

(不接受港澳通行證或回鄉證)

個人資料:

身分證英文名字

身分證英文名字

← TAI MAN

身分證英文姓名

身分證英文姓名

← CHAN

中文名/身份證明文件上非英文名字

中文名/身份證明文件上非英文名字

← 陳大文

香港身份證/國民身份證/護照

香港身份證/國民身份證/護照

← A123456(7) 如證件有括號 () 請輸入

證件簽發國家/地區

選擇國家/地區

← 香港特別行政區

護照到期日

護照到期日

← 如沒有證件到期日則不用選擇

上傳香港身份證/國民身份證/護照

選擇檔

確認及同意

☒ 本人/吾等確認本人/吾等已經閱讀並理解輝立證券個人資料收集聲明的內容。本人/吾等同意輝立證券根據個人資料收集聲明中的條款和目的使用我的個人資料，以開通香港股票交易。

Submit

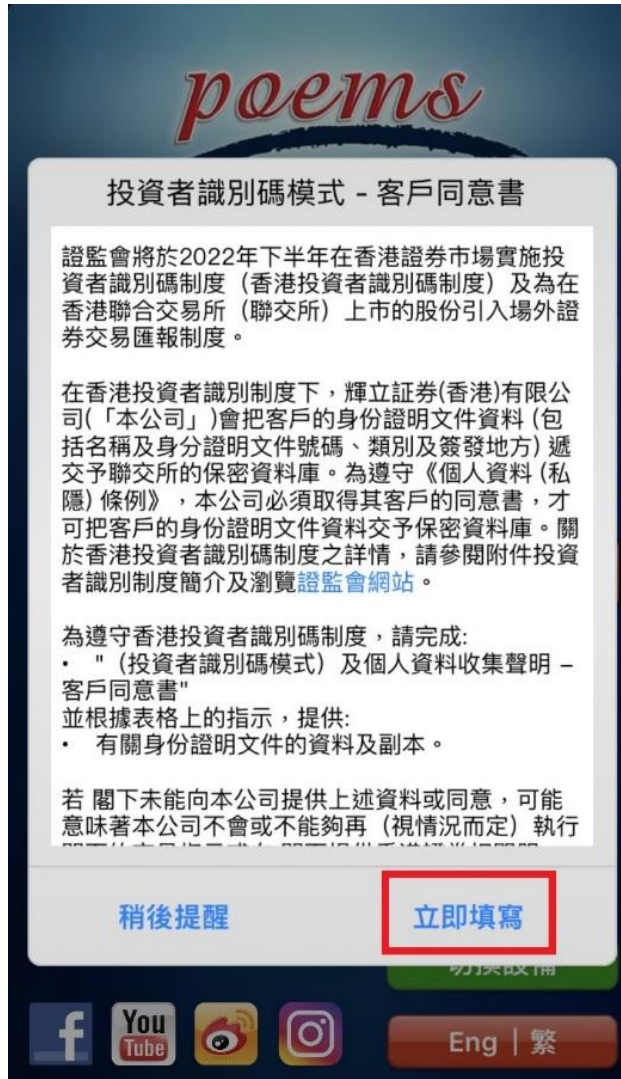
顯示以下通知代表已收到閣下的確認。



如有任何查詢，歡迎致電 2277 6555 客戶服務部聯絡。

POEMS（手機版本）

由於證監的新規例，客戶系統會陸續收到“投資者識別碼模式-客戶同意書”
煩請客戶看到系統表格顯示時 請按“立即填寫”



The screenshot displays the POEMS mobile application interface. At the top, the 'poems' logo is visible in a stylized red font. Below the logo, the title '投資者識別碼模式 - 客戶同意書' (Investor Identification Code Mode - Client Consent Form) is centered. The main content area contains several paragraphs of text explaining the regulatory changes and the company's compliance requirements. At the bottom, there are two buttons: '稍後提醒' (Remind Later) and '立即填寫' (Fill Out Now). The '立即填寫' button is highlighted with a red rectangular border. Below the buttons, there are social media icons for Facebook, YouTube, Weibo, and Instagram, and a language selection bar with 'Eng | 繁' (English | Traditional Chinese).

投資者識別碼模式 - 客戶同意書

證監會將於2022年下半年在香港證券市場實施投資者識別碼制度（香港投資者識別碼制度）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。

在香港投資者識別制度下，輝立証券(香港)有限公司(「本公司」)會把客戶的身份證明文件資料(包括名稱及身分證明文件號碼、類別及簽發地方)遞交予聯交所的保密資料庫。為遵守《個人資料(私隱)條例》，本公司必須取得其客戶的同意書，才可把客戶的身份證明文件資料交予保密資料庫。關於香港投資者識別碼制度之詳情，請參閱附件投資者識別碼制度簡介及瀏覽[證監會網站](#)。

為遵守香港投資者識別碼制度，請完成：

- "（投資者識別碼模式）及個人資料收集聲明 – 客戶同意書"





並根據表格上的指示，提供：

- 有關身份證明文件的資料及副本。

若閣下未能向本公司提供上述資料或同意，可能意味著本公司不會或不能夠再（視情況而定）執行閣下的交易指令。請即提供上述資料及同意。

[稍後提醒](#) [立即填寫](#)

勿失良機

    [Eng | 繁](#)

[返回](#)

(投資者識別碼模式) 及個人資料收集聲明 - 客戶同意書

處理個人資料作為於香港聯合交易所交易的一部分

您/ 汝等明白並同意，輝立證券(香港)有限公司（統稱“輝立證券”）為了向您/ 汝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，輝立證券可收集、儲存、處理、使用、披露及轉移與您/ 汝等有關的個人資料（包括您/ 汝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，當由包

系統填寫版本:

請核對於同意書底部的“個人資料”若資料正確無誤請 ☒ 和“確認同意。”

[返回](#)

證件簽發國家/地區

香港特別行政區

確認及同意

☒ 本人/吾等確認本人/吾等已經閱讀並理解輝立證券個人資料收集聲明的內容。本人/吾等同意輝立證券根據個人資料收集聲明中的條款和目的使用我的個人資料，以開通香港股票交易。

確認同意

客戶自行填寫版本:

請於同意書底部輸入“個人資料”若資料正確無誤
請 ☒ 和“確認同意。”

(不接受港澳通行證或回鄉證)

[返回](#)

個人資料:

身分證英文名字

身分證英文名字

← TAI MAN

身分證英文姓名

身分證英文姓名

← CHAN

中文名/身份證明文件上非英文
名字

中文名/身份證明文件上非英文

← 陳大文

香港身份證/國民身份證/護照

香港身份證/國民身份證/護照

← A123456(7)

如證件有括號 () 請輸入

證件簽發國家/地區

選擇國家/地區 ▼

← 香港特別行政區

護照到期日

護照到期日



← 如沒有證件到期日
則不用選擇

上傳香港身份證/國民身份證/護
照

選擇檔

確認及同意

☒ 本人/吾等確認本人/吾等已經閱讀並理解輝立證券個人資料收集聲明的內容。本人/吾等同意輝立證券根據個人資料收集聲明中的條款和目的使用我的個人資料，以開通香港股票交易。

Submit

顯示以下通知代表已收到閣下的確認。

[返回](#)



我們已經收到您的確認，您的請求正在處理中。請按返回按鈕以返回主頁。

如有任何查詢，歡迎致電 2277 6555 客戶服務部聯絡。

POEMS (web version)

Due to the new regulations of the SFC, clients will gradually receive the "Investor Identification Model - Personal Information Collection Statement"

Please click "Fill in now" when you see the system form displayed

Consent Letter on (Investor Identification Model)

The SFC will introduce an investor identification regime (HKIDR) at trading level for the securities market in Hong Kong and an over-the-counter securities transaction reporting regime (OTCR) for shares listed on the Stock Exchange of Hong Kong (SEHK) in late 2022.

Under the HKIDR, Phillip Securities (Hong Kong) Limited ("the Company") will submit clients' identity information (including name and identity document number, type, and place of issue) to a secured data repository of the Stock Exchange of Hong Kong. To comply with the Personal Data (Privacy) Ordinance, the Company will have to obtain your consent before submitting the identity information to the secured data repository. For details of the HKIDR, please refer to the attached leaflet of the investor identification regime and visit the [SFC website](#).

To comply with the HKIDR, please complete:

- "Consent Letter on (Investor Identification Model) and the Personal Information Collection Statement" and complete the form according to instruction with
- relevant information and copy of your identity document.

Failure to provide the Company with the data or consent as described above may mean that the Company 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 in Hong Kong securities market, (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

Remind Me Later

Fill in now

Consent Letter on (Investor Identification Model) and the Personal Information Collection Statement

Processing of Personal Data as part of Trading on the Stock Exchange of Hong Kong

You acknowledge and agree that Phillip Securities (Hong Kong) Limited ("PSHK") 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). 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.
- (d). 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.

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.

System automatic fill-in version

Please check "Personal Information" at the bottom of the consent form if the information is correct

Please ☒ and "Confirm Agree."

Personal Details:	
First Name and Middle Name	TAI MAN
Last Name	CHAN
Chinese Name/ Non-English Name on identity document	陳大文
HKID/ National ID/ Passport	A123456(7)
Place/ Country of Issuance	HONG KONG SAR CHINA

Acknowledgement and Consent	
<input checked="" type="checkbox"/> I/We acknowledge I/We have read and understand the content of the above Personal Information Collection Statement of PSHK. I/We signify my/our consent for PSHK to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement, to activate trading of Hong Kong Stock.	

Confirm Agree

Manual fill-in version

Please enter "Personal Information" at the bottom of the consent form if the information is correct

Please ☒ and "Confirm Agree."

(Exit-Entry Permits for Travelling to and from Hong Kong and Macao or Home Return Permits are not accepted)

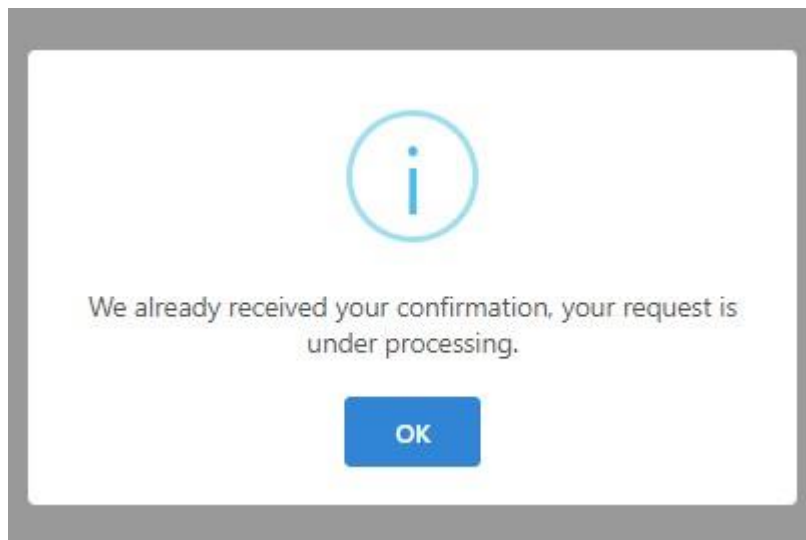
Personal Details:	
First Name and Middle Name	<div>First Name and Middle Name</div> <div>← TAI MAN</div>
Last Name	<div>Last Name</div> <div>← CHAN</div>
Chinese Name/ Non-English Name on identity document	<div>Chinese Name/ Non-English Name on identity document</div> <div>← 陳大文</div>
HKID/ National ID/ Passport	<div>HKID/ National ID/ Passport</div> <div>If the identity document has brackets (), please enter ← A123456(7)</div>
Place/ Country of Issuance	<div>Select Place/ Country</div> <div>← HONG KONG SAR CHINA</div>
Passport expiry date	<div>Passport expiry date</div> <div>← Do not select</div> <div>if there is no identity document expiration date</div>
Upload HKID/ National ID/ Passport	<div>Select files...</div>

Acknowledgement and Consent

☒ I/We acknowledge I/We have read and understand the content of the above Personal Information Collection Statement of PSHK. I/We signify my/our consent for PSHK to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement, to activate trading of Hong Kong Stock.

Submit

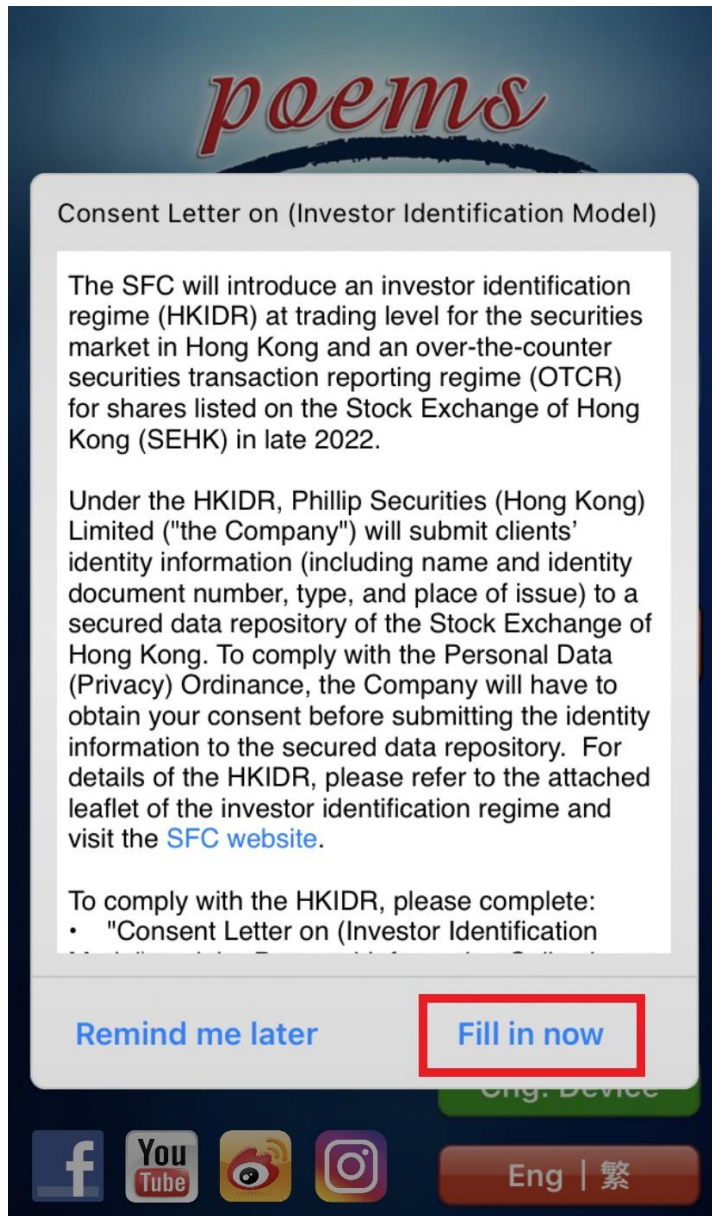
The following notification is displayed to indicate that your confirmation has been received.



Should you have any queries, please do not hesitate to contact us at 2277 6555.

POEMS (App version)

Due to the new regulations of the SFC, clients will gradually receive the "Investor Identification Model - Personal Information Collection Statement"
Please click "Fill in now" when you see the system form displayed



The screenshot shows the POEMS app interface. At the top, the word "poems" is written in a stylized red font. Below it, a white box contains the title "Consent Letter on (Investor Identification Model)". The text inside the box explains the HKIDR regime and the company's commitment to data privacy. At the bottom of the white box, there is a list item: "• 'Consent Letter on (Investor Identification Model)'". Below the white box, there are two buttons: "Remind me later" and "Fill in now". The "Fill in now" button is highlighted with a red rectangular border. At the very bottom of the app, there are social media icons for Facebook, YouTube, Weibo, and Instagram, and a language selector button labeled "Eng | 繁".

poems

Consent Letter on (Investor Identification Model)

The SFC will introduce an investor identification regime (HKIDR) at trading level for the securities market in Hong Kong and an over-the-counter securities transaction reporting regime (OTCR) for shares listed on the Stock Exchange of Hong Kong (SEHK) in late 2022.

Under the HKIDR, Phillip Securities (Hong Kong) Limited ("the Company") will submit clients' identity information (including name and identity document number, type, and place of issue) to a secured data repository of the Stock Exchange of Hong Kong. To comply with the Personal Data (Privacy) Ordinance, the Company will have to obtain your consent before submitting the identity information to the secured data repository. For details of the HKIDR, please refer to the attached leaflet of the investor identification regime and visit the [SFC website](#).

To comply with the HKIDR, please complete:

- "Consent Letter on (Investor Identification Model)"

Remind me later **Fill in now**

Eng. Device

f YouTube Weibo Instagram Eng | 繁

[Back](#)

**Consent Letter on
(Investor Identification
Model) and the Personal
Information Collection
Statement**

Processing of Personal Data as
part of Trading on the Stock
Exchange of Hong Kong

You acknowledge and agree
that Phillip Securities (Hong
Kong) Limited ("PSHK") 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

System automatic fill-in version:

Please check "Personal Information" at the bottom of the consent form if the information
is correct

Please ☒ and "Confirm Agree."

[Back](#)

Acknowledgement and Consent

☒ I/We acknowledge I/We
have read and understand
the content of the above
Personal Information
Collection Statement of
PSHK. I/We signify my/our
consent for PSHK to use
my/our personal data on
the terms of and for the
purposes set out in the
Personal Information
Collection Statement, to
activate trading of Hong
Kong Stock.

Confirm Agree

Manual fill-in version:

Please enter "Personal Information" at the bottom of the consent form if the information is correct

Please ☒ and "Confirm Agree."

(Exit-Entry Permits for Travelling to and from Hong Kong and Macao or Home Return Permits are not accepted)

[Back](#)

Personal Details:

First Name and Middle Name

First Name and Middle Name

Last Name

Last Name

Chinese Name/ Non-English Name on identity document

Chinese Name/ Non-English Name on identity document

HKID/ National ID/ Passport

HKID/ National ID/ Passport

← TAI MAN

← CHAN

← 陳大文


← A123456(7)

If the identity document has brackets (), please enter

Place/ Country of Issuance

Select Place/ Country ▼ HONG KONG SAR CHINA

Passport expiry date

Passport expiry date  Do not select if there is no identity document expiration date

Upload HKID/ National ID/ Passport

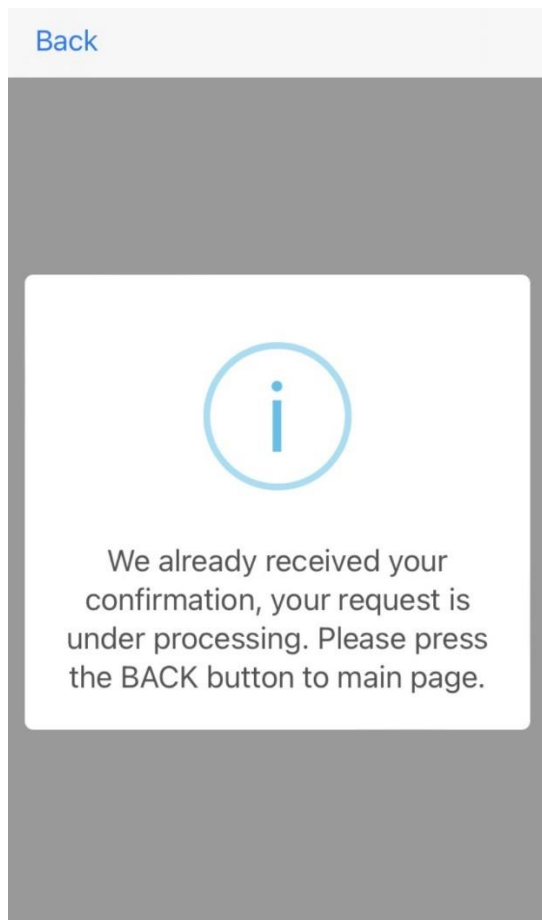
Select files...

Acknowledgement and Consent

☒ I/We acknowledge I/We have read and understand the content of the above Personal Information Collection Statement of PSHK. I/We signify my/our consent for PSHK to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement, to activate trading of Hong Kong Stock.

Submit

The following notification is displayed to indicate that your confirmation has been received.



Should you have any queries, please do not hesitate to contact us at 2277 6555.