

Dear Valued Customer,  
尊貴的客戶：

**Update on Client Identification Data ("CID") and Personal Information Collection Statement ("Statement")**  
**Concerning Hong Kong Investor Identification Regime ("HKIDR") and Over-The-Counter Securities Transactions**  
**Reporting Regime ("OTCR")**

**客戶識別訊息更新及香港投資者識別碼制度及場外證券交易匯報制度個人資料收集聲明**

The Securities and Futures Commission ("SFC") issued the Consultation Conclusions Paper on proposals to implement an HKIDR and introduce an OTCR for shares listed on the Stock Exchange of Hong Kong ("SEHK") on 10 August 2021.

證券及期貨事務監察委員會(「證監會」)於 2021 年 8 月就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(「香港投資者識別碼制度」)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，發表了諮詢總結文件。

Lighthouse Capital (HK) Financial Limited ("Lighthouse") has to ensure that (i) up-to-date CID and (ii) written consent have been obtained from you for the transfer of your personal data to SEHK (in the case of the HKIDR) and the SFC (in both cases of the HKIDR and the OTCR).

光源資本(香港)金融有限公司(「光源金融」)需確保於該等制度實施時已向閣下取得 (i) 最新的客戶識別訊息 及 (ii) 已簽署之附件「香港投資者識別碼制度及場外證券交易匯報制度客戶同意書」(「客戶同意書」)。閣下需要同意所述個人資料會被轉移給聯交所及/或證監會以及其個人資料的使用目的。

Failure to provide us with your personal data or consent as described above may mean that Lighthouse will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide with your securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

閣下如未能向光源金融提供個人資料或上述同意，可能意味着本行不會或不能夠再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除外。

If:  
若閣下：

1. Your CID kept in Lighthouse is up-to-date and follows the waterfall requirement\* imposed by the SFC, you only need to sign the attached consent letter.  
保存於本行之識別訊息已是最新並且符合證監會身份證明文件類別優先次序要求\*，則只需簽署附件之客戶同意書。
2. You have any updates on CID kept in Lighthouse, please fill in the attached individual and corporate clients identification update form ("Form"), together with copy of the latest proofs and notify Lighthouse for such changes.  
保存於本行之識別訊息有任何更新，請一併填妥附件之個人/公司客戶識別訊息更新表格及提供已更新的證明文件副本，並通知光源金融作出更改。
3. If you have a joint securities account in Lighthouse, each joint holder of the account shall sign on the attached Statement respectively.  
於本行持有聯名帳戶，其帳戶每名持有人均須於附件之客戶同意書/更改表格上簽署。

\*For details in relation to waterfall requirement imposed by the SFC, please refer to the attached Form.

\*有關證監會身份證明文件類別優先次序要求之詳情請參閱附件之個人/公司客戶識別訊息更新表格。

Yours Sincerely,  
此致

Lighthouse Capital (HK) Financial Limited  
光源資本(香港)金融有限公司

*This is a computer generated printout and no authorized signature is required.*  
此信件由電腦自動編印無需授權簽署。

Supplement to Lighthouse Capital (HK) Financial Limited Client Agreement  
光源資本(香港)金融有限公司客戶協議附件

**Client Consent on Investor Identification Regime at trading level for the securities market in Hong Kong**  
**香港投資者識別碼制度及場外證券交易匯報制度下取得客戶同意之同意書**

You acknowledge and agree that Lighthouse Capital (HK) Financial Limited may collect, store, process, use, disclose and transfer personal data relating to you (client name):  
\_\_\_\_\_ (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 –

閣下明白並同意，光源資本(香港)金融有限公司為了向閣下\_\_\_\_\_ (客戶姓名) 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) 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;
- (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) 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
- (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) 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.
- (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。

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。

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).

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。

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."

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。

\_\_\_\_\_  
Client Signature 客戶簽署

Client' s Name 客戶姓名 : \_\_\_\_\_

Client' s A/C No. 客戶號碼 : \_\_\_\_\_

Date 日期 : \_\_\_\_\_