



# 輝立証券(香港)有限公司

## 証券客戶協議補充:

條款	修訂內容	生效日期
附表 2 - 3.1	處理香港股票交易及公開招股時的任何機構，包括但不限於上市公司及其子公司、滬港通有關機構、深港通有關機構、中央結算有限公司、及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他的有關各方。	1/3/2022
附表 2 - 3.2	(xi) 根據不時生效的聯交所及證監會規則和規定，包括但不限於上市公司及其子公司、滬港通有關機構、深港通有關機構、中央結算有限公司、及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他的有關各方披露及轉移您/ 汝等的個人資料（包括客戶識別信息及券商客戶編碼）	1/3/2022
附表 10	<p style="text-align: center;"><b>香港証券交易及新股認購協議</b></p> <p><b>處理個人資料作為於香港聯合交易所交易的一部分</b></p> <p>您/ 汝等明白並同意，輝立証券(香港)有限公司（統稱“輝立証券”）為了向您/ 汝等提供與在香港聯合交易所（聯交所）上市或買賣的証券相關的服務，以及為了遵守不時生效的聯交所與証券及期貨事務監察委員會（證監會）的規則和規定，輝立証券可收集、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:</p> <ul style="list-style-type: none"><li>(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）；</li><li>(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；</li><li>(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</li><li>(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。</li></ul> <p>您/ 汝等亦同意，即使您/ 汝等其後宣稱撤回同意，輝立証券在您/ 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。</p> <p>您/ 汝等如未能向輝立証券提供個人資料或上述同意，可能意味著輝立証券不會或不能夠再（視情況而定）執行您/ 汝等的交易指示或向您/ 汝等提供証券相關服務，惟出售、轉出或提取您/ 汝等現有的証券持倉（如有）除外。</p> <p>備註：本條文所述的“券商客戶編碼”及“客戶識別信息”具有《証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。</p>	1/3/2022



# Phillip Securities (Hong Kong) Limited

## Supplement to the Client Services Agreement:

Clause	Amended Content	Implementation Date
Sch 2 – 3.1	Any person when processing your Hong Kong securities trading and IPO application, including but not limited to the issuer, the issuer's share registrar, SSE, SZSE, the SFC, SEHK and any other party involved for the purposes of processing your transaction/ application.	1/3/2022
Sch 3 – 3.2	(xii) disclosing and transferring your personal data (including CID and BCAN(s)) to the issuer, the issuer's share registrar, SSE, SZSE, the SFC, SEHK and any other party involved in accordance with the rules and requirements of SEHK and the SFC in effect from time to time	1/3/2022
Sch 10	<p style="text-align: center;"><b>Hong Kong Securities Trading and IPO Application Agreement</b></p> <p><b>Processing of Personal Data as part of Trading on the Stock Exchange of Hong Kong</b></p> <p>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 –</p> <ul style="list-style-type: none"><li>(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;</li><li>(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</li><li>(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.</li><li>(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.</li></ul> <p>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.</p> <p>Failure to provide us with your personal data or consent as described above may mean that PSHK 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).</p> <p>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.”</p>	1/3/2022