

輝立證券(香港)有限公司  
PHILLIP SECURITIES (HONG KONG) LIMITED  
EXCHANGE PARTICIPANT OF THE STOCK EXCHANGE OF HONG KONG LTD

To: Phillip Securities (Hong Kong) Limited (SFC CE No.: AAG460)  
11/F United Centre, 95 Queensway, Hong Kong

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

**1) 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;
- (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; and
- (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.

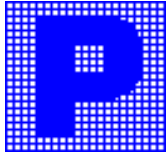
Failure to provide us with your personal data or consent as described above may mean that PSHK will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings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

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."

**2) Processing of Personal Data as part of the Stock Connect Northbound Trading**

In view of Phillip Securities (Hong Kong) Limited's ("PSHK") provision of Stock Connect Northbound Trading Services to you, you acknowledge and agree that PSHK will be required to:

- (i) tag each of your orders submitted to the China Stock Connect ("CSC") with Broker-to-Client Assigned Number ("BCAN") that is unique to you (*for you having single account*) or to your joint account (*for you having a joint account*) with PSHK, as appropriate; and
- (ii) provide to the SEHK your assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to you as the SEHK may request from time to time under the Rules of the Exchange.



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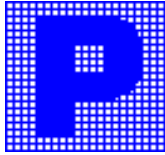
Without limitation to any notification PSHK have given you or consent PSHK have obtained from you in respect of the processing of your personal data in connection with your account and PSHK's services to you, you acknowledge and agree that PSHK may collect, store, use, disclose and transfer personal data relating to you as required as part of PSHK's Stock Connect Northbound Trading Service, including as follows:

- (a) to disclose and transfer your BCAN and CID to the Exchange/SEHK and the relevant SEHK Subsidiaries from time to time, including by indicating your BCAN when inputting a China Connect Order into the CSC, which will be further routed to the relevant China Connect Market Operator on a real-time basis;
- (b) to allow each of the Exchange/SEHK and the relevant SEHK Subsidiaries to: (i) collect, use and store your BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via HKEX) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Connect Market Operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;
- (c) to allow the relevant China Connect Clearing House to: (i) collect, use and store your BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator, the Exchange/SEHK and the relevant SEHK Subsidiary; (ii) use your BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and
- (d) to allow the relevant China Connect Market Operator to: (i) collect, use and store your BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets.

By instructing PSHK in respect of any transaction relating to China Connect Securities, you acknowledge and agree that PSHK may use your personal data for the purposes of complying with the requirements of the Exchange/SEHK and its rules as in force from time to time in connection with the Stock Connect Northbound Trading. You also acknowledge that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.

#### **Consequences of failing to provide Personal Data or Consent**

Failure to provide PSHK with your personal data or consent as described above may mean that PSHK will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with PSHK's Stock Connect Northbound Trading Service.



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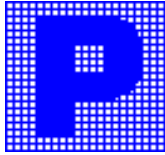
Please provide the latest client identification data and attached a copy of identity document.

A) For Individual Client Only (Joint account need to fill in separated form)

Client account number	
Name in English on the ID	
Name in Chinese on the ID	
Other name on the ID (If it is not in English or Chinese)	
Identity document ("ID") type according to the waterfall requirement (Remarks)	1 <sup>st</sup> priority: HKID card 2 <sup>nd</sup> priority: National identification document 3 <sup>rd</sup> priority: Passport
ID's issuing country / jurisdiction	
ID number	
ID expiry date	

B) For Corporate / Trust Client Only

Client account number	
(Corporate client) Full legal entity name in English on the ID / (Trust client) Name of the trustee in English on the ID	
(Corporate client) Full legal entity name in Chinese on the ID / (Trust client) Name of the trustee in Chinese on the ID	
Other name on the ID (If it is not in English or Chinese)	
Identity document ("ID") type according to the waterfall requirement (Remarks)	<b><u>Corporate client</u></b> 1 <sup>st</sup> priority: LEI registration document 2 <sup>nd</sup> priority: Certificate of incorporation 3 <sup>rd</sup> priority: Business registration certificate 4 <sup>th</sup> priority: Other relevant documents  <b><u>Trustee of trust account client</u></b> 1 <sup>st</sup> priority: HKID card 2 <sup>nd</sup> priority: National identification document 3 <sup>rd</sup> priority: Passport  <b>or</b> 1 <sup>st</sup> priority: LEI registration document 2 <sup>nd</sup> priority: Certificate of incorporation 3 <sup>rd</sup> priority: Business registration certificate 4 <sup>th</sup> priority: Other relevant documents
ID's issuing country / jurisdiction	
ID number	
ID expiry date	



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*Remarks: If the identification document (as required under the waterfall requirement of the SFC) is not provided during the account opening process, please provide us with a copy of the identity document. For instance, for individual client who has HKID card but such document is not provided in the account opening process, you are required to provide the above identification data and HKID copy to us accordingly.*

**Acknowledgement and Consent**

I/We acknowledge I/We have read and understand the content of the above Personal Information Collection Statement of PSHK. By ticking the box below, 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. I/We hereby state that the above information given is complete and accurate and that no false or misleading information or false statements have been given.

- ☐ I/We agree to PSHK's use of my/our personal data for the purposes set out in the **Processing of Personal Data as part of Trading on the Stock Exchange of Hong Kong**, to activate trading of **Hong Kong Stock**.
- ☐ I/We agree to PSHK's use of my/our personal data for the purposes set out in the **Processing of Personal Data as part of the Stock Connect Northbound Trading**, and confirm I/ We are not **Chinese Citizen and holder of identity documents issued by Mainland China or Incorporated association/ Unincorporated association registered in Mainland China**, to activate the trading of **China Connect Stock**.

Signed by: \_\_\_\_\_

Date: \_\_\_\_\_(dd/mm/yyyy)

*Client must sign in conformity with the specimen already registered with the Company.*