

Acknowledgement and Consent

I/We hereby acknowledge I/we have read and understand the content of the Personal Information Collection Statement concerning Northbound China Connect Orders of Kim Eng Securities (Hong Kong) Limited. By ticking the box below, I/we signify my/our consent for Kim Eng Securities (Hong Kong) Limited to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement concerning Northbound China Connect Orders.

I/We agree that Kim Eng Securities (Hong Kong) Limited can use my/our personal data for the purposes set out in the Personal Information Collection Statement concerning Northbound China Connect Orders.

Client Signature : _____

Client Name : _____

Account Number : _____

Date : _____

Personal Information Collection Statement concerning Northbound China Connect Orders

Processing of Personal Data as part of the Stock Connect Northbound Trading

You acknowledge and agree that in providing our Stock Connect Northbound Trading Service to you, we, Kim Eng Securities (Hong Kong) Limited, will be required to:

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

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

- (a) to disclose and transfer your BCAN and CID to the Exchange 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 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 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 us in respect of any transaction relating to China Connect Securities, you acknowledge and agree that we may use your personal data for the purposes of complying with the requirements of the Exchange 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 us with your personal data or consent as described above may mean that we will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with our Stock Connect Northbound Trading Service.

In case of discrepancy between the English version and Chinese version of this statement, the English version shall prevail.

確認和同意

本人/吾等確認本人/吾等已閱讀並了解金英証券（香港）有限公司的中華通北向交易個人資料收集聲明的內容。通過勾選下面的方框，本人/吾等表示本人/吾等同意金英証券（香港）有限公司根據關於中華通北向交易個人資料收集聲明中的條款和目的使用本人/吾等之個人資料。

本人/吾等同意金英証券（香港）有限公司將本人/吾等之個人資料用於關於中華通北向交易個人資料收集聲明所載的目的。

客戶簽署 : _____

客戶名稱 : _____

戶口號碼 : _____

日期 : _____

中華通北向交易個人資料收集聲明

處理個人資料作為中華通北向交易的一部分

您/汝等確認並同意在向您/汝等提供中華通北向交易服務時，金英証券（香港）有限公司（“我們”）將被要求：

- (i) 用證券經紀對客戶指定的券商客戶編號(“BCAN”)，即您個人獨一無二的或分配給汝等之聯合賬戶（如適用）標記的每份訂單提交給中國結算;和
- (ii) 向交易所提供您/汝等之 **BCAN** 以及交易所根據交易所規則可能不時要求與您/汝等有關於身份資料（“客戶身份資料”或“CID”）。

在不限制關於處理與您/汝等的帳戶及我們對您/汝等的服務收集到個人數據所提供的通知及您/汝等的相關同意下您/汝等確認並同意我們可能會收集、儲存、使用、披露，並根據需要轉交與您/汝等有關的個人資料，作為中華通北向交易服務的一部分，包括以下內容：

- (a) 向交易所及相關聯交所附屬公司不時披露並轉交您的 **BCAN** 和 **CID**，包括在輸入中華通訂單時註明您的 **BCAN**，並實時將其進一步發送至相關中華通市場營運者；
- (b) 允許各交易所及相關聯交所附屬公司：(i) 收集、使用及儲存您/汝等的 **BCAN**，**CID** 以及由相關中華通結算所提供的任何經整合、驗證及配對的 **BCANs** 及 **CID** 資料（其中任何一家或通過香港交易所進行存儲）以進行市場監督、監察及執行交易所規則；(ii) 不時為下文 (c) 及 (d) 段所載之目的，將有關資料轉交給相關中華通市場營運者（直接或透過相關中華通結算所）；及 (iii) 向香港相關監管機構和執法機構披露有關資料，以協助履行其在香港金融市場的法定職能；
- (c) 允許相關中華通結算所：(i) 收集、使用和儲存您/汝等的 **BCAN** 和 **CID**，以協助 **BCAN** 和 **CID** 的整合和驗證，將 **BCANs** 和 **CID** 與其投資者識別數據庫作出配對，並提供此等合併、驗證及已配對 **BCANs** 及 **CID** 資料予相關中華通市場營運者、聯交所及相關聯交所附屬公司；(ii) 使用您/汝等的 **BCAN** 和 **CID** 以履行其證券賬戶管理的監管職能；及 (iii) 向有管轄權的內地監管機構及執法機構披露有關資料，以協助履行其對內地金融市場的監管、監察及執法職能；和
- (d) 允許相關中華通市場營運者：(i) 通過使用中華通服務及執行中華通市場營運者的規則，收集、使用及儲存您/汝等的 **BCAN** 及 **CID**，以便監察及監管相關中華通市場上的證券交易；及 (ii) 向內地監管機構及執法機構披露有關資料，以協助履行其對內地金融市場的監管、監察及執法職能。

通過對我們發出就中華通證券有關的任何交易指示，您/汝等確認並同意我們可能會使用您/汝等的個人資料，以遵守聯交所對中華通北向交易不時有效的要求及其規則。您/汝等也確認，儘管您/汝等隨後表示撤回此同意，但您/汝等的個人數據仍有機會繼續被儲存、使用、披露、轉交和以其他方式處理以達到上述目的，無論是在此同意的撤銷之前還是之後。

未能提供個人資料或同意的後果

若您/汝等未能向我們提供您/汝等的個人資料或上述同意，我們將不會或不能，根據具體情況，執行您/汝等的交易指令或向您/汝等提供我們的中華通北向交易服務。

如中、英文版本有任何分歧，概以英文版本為準。