PC Securities Limited
寶鉅證券有限公司

Personal Information Collection Statement concerning Northbound China Connect Orders

Client Name 客戶名稱	Client Code 客戶編號

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 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]; 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].

Mainland investors will be prohibited from buying or selling China Connect Securities through Northbound Trading under Stock Connect

Mainland investors shall not proactively buy any China Connect Securities through Northbound Trading under Stock Connect (including subscription for rights issue (配股)), but excluding obtaining China Connect Securities passively as a result of corporate actions (such as distribution of stock dividends).

Mainland investors include:

1. Individuals that possess Mainland ID documents, including the Mainland Resident's Household Register ("Hukou", 境內居民戶口簿), Resident Identity Card (居民身份證), Passport of the People's Republic of China (中華人民共和國護照), and the Exit/ Entry Permit for Travelling to and from Hong Kong and Macao (往來港澳通行證);
2. Holders of a joint account if one of the holders is considered as Mainland investor under (1); and
3. Corporate or unincorporated entities which are registered in the Mainland.

<u>The following investors will not be considered as "Mainland investors" and may continue to buy and sell China Connect Securities through Northbound Trading under Stock Connect:</u>

- Any individual who holds a Permit for Proceeding to Hong Kong and Macao, i.e. One-way Permit (前往港澳通行證, i.e. 單程證) or who has obtained an identity document as proof of permanent residence in a country or region outside Mainland China.
- Any branch or subsidiary of a corporate or unincorporated entity registered in Mainland China which branch or subsidiary is lawfully registered in Hong Kong or overseas.

Acknowledgement and Consent #By ticking the box below, I/We acknowledge I/we have read and understand the followings:

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- The content of the Personal Information Collection Statement of PC Securities Limited. I/We signify my consent for PC Securities Limited to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.
- Mainland investors shall not proactively buy any China Connect Securities through Northbound Trading under Stock Connect, I/we confirm that I/we am/are not Mainland investors.

■ Signature 簽署		
Signature of Main Account Holder 主要帳戶持有人 簽署	✕	Date 日期 : dd 日 / mm 月 / yyyy 年
Signature of Joint Account Holder 聯名帳戶持有人 簽署	✕	Date 日期 : dd 日 / mm 月 / yyyy 年

Date Executed	_____	*FOR OFFICE USE ONLY*	Date Received	_____
Remark				

Signature Verified by	B.O. Maker	B.O. Checker	R.O.