

PERSONAL INFORMATION COLLECTION STATEMENT CONCERNING NORTHBOUND CHINA CONNECT ORDERS

中華通北向交易之個人資料收集聲明

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

處理個人資料作為中華通北向交易的一部分

You acknowledge and agree that in providing 【Stock Connect Northbound Trading Service】 of Core Capital Securities Limited (“CCS”) to you, we will be required to:

閣下確認並同意凱匯資本證券有限公司 (簡稱「凱匯資本」)在向閣下提供【中華通北向交易服務】時，凱匯資本按要求必須：

- i. tag each of your orders submitted to the China Stock Connect System ("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 CCS, as appropriate; and
在閣下遞交至中華通市場系統(簡稱“中證通”)的每一單買賣盤中，附加屬於閣下的券商客戶編碼(簡稱“BCAN”)或附加編派給閣下聯名賬戶(如適用)的券商客戶編碼；以及
- ii. provide to The Stock Exchange of Hong Kong Limited (“SEHK”) your assigned BCAN and such identification information (“Client Identification Data” or “CID”) relating to you as SEHK may request from time to time under its rules.
向香港聯合交易所有限公司(簡稱“聯交所”)提供編派給閣下的 BCAN 及聯交所根據其規則不時要求提供屬於閣下的識別信息(簡稱“客戶識別信息”或“CID”)。

Without limitation to any notification CCS have given you or consent CCS 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 Stock Connect Northbound Trading Service of CCS, including as follows:

在不局限凱匯資本就處理與閣下賬戶及向閣下提供服務收集到的個人資料所發出的任何通知或從閣下已取得的任何同意書之內容的原則下，閣下確認及同意凱匯資本作為提供中華通北向交易服務的一部分，可以收集、儲存、使用、披露和轉移閣下個人資料，包括以下內容：

- (a) to disclose and transfer your BCAN and CID to the 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;
不時向聯交所及相關的聯交所附屬公司披露和轉移閣下的 BCAN 和客戶識別信息，包括在閣下遞交至中華通市場系統的中華通買賣盤中，附加上閣下的券商客戶編碼，且將實時傳遞至相關的中華通市場營運者；
- (b) to allow each of the 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 Hong Kong Exchanges and Clearing Limited (“HKEX”)) for market surveillance and monitoring purposes and enforcement of the Rules of the SEHK; (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;

允許聯交所及相關的聯交所附屬公司 (i)為市場監控、監察及執行聯交所規則的目的·收集、使用和儲存閣下的 BCAN、CID 以及由相關中華通結算所提供的任何經綜合、核實和配對的 BCAN 和 CID 資料(相關資料的儲存將由上述任何一間機構或通過香港交易及結算所有限公司(簡稱“結算所”)進行);(ii)為下述(c)及(d)段所述目的·不時將上述資料轉移至相關中華通市場營運者(直接或通過相關中華通結算所轉移);以及(iii)向香港的有關監管機構和執法機構披露有關資料·以協助其履行其有關香港金融市場之法定職能;

- (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 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

允許相關中華通結算所：(i)收集、使用及儲存閣下的 BCAN 及 CID，以促進對 BCAN 和 CID 之整合及驗證以及 BCAN 和 CID 與其投資者身份數據庫的配對，並提供此等已整合、已驗證及已配對之 BCAN 及 CID 資料予有關中華通市場營運者、交易所及聯交所相關附屬公司；(ii)使用閣下的 BCAN 和 CID 以履行其管理證券賬戶的監管職能；以及(iii)向有管轄權的內地監管機構及執法機構披露有關資料，以協助其履行對內地金融市場的監管、監察及執法職能；及

- (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.

允許有關的中華通市場營運者：(i)收集、使用及儲存客戶的 BCAN 和 CID，以協助其監控和監察通過使用中華通服務在相關中華通市場進行的證券交易情況，和協助其執行相關中華通市場營運者的規則；以及向有管轄權的內地監管機構及執法機構披露有關資料，以協助其履行對內地金融市場的監管、監察及執法職能。

By instructing us in respect of any transaction relating to China Connect Securities, you acknowledge and agree that CCS may use your personal data for the purposes of complying with the requirements of the 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.

通過凱匯資本發出任何與中華通證券有關的交易指示，閣下確認並同意凱匯資本可能會使用閣下的個人資料，以確保遵守聯交所有關中華通北向交易不時發佈生效的要求和規則。閣下亦確認儘管閣下表示撤回同意，但無論是在閣下撤回同意之前還是之後，閣下的個人資料仍可繼續被儲存、使用、披露、轉交及以其他方式處理以達到上述目的。

Consequences of failing to provide Personal Data or Consent

未能提供個人資料或同意的後果

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

如果閣下未能向凱匯資本提供閣下上述個人資料或未有就以上事項表示同意，凱匯資本不會或無法(視情況而定)執行閣下的交易指令或向閣下提供凱匯資本的中華通北向交易服務。

In case of discrepancies between the English and Chinese version, the English version shall Prevail.

若中英文版本如存在任何差異，以英文版本為準。

Acknowledgement and Consent

確認和同意

I/We acknowledge I/we have read and understand the content of the Personal Information Collection Statement of Core Capital Securities Limited. By ticking the box below, I/we signify my consent for Core Capital Securities Limited to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

本人/吾等確認已閱讀並明白凱匯資本證券有限公司的中華通北向交易之個人資料收集聲明的內容。通過勾選下面的方框，本人/吾等確認同意凱匯資本證券有限公司根據關於中華通北向交易之個人資料收集聲明的條款和所載之目的使用本人/吾的個人資料。

I/We agree to Core Capital Securities Limited's use of my/our personal data for the purposes set out in the Personal Information Collection Statement.

本人/吾等同意凱匯資本證券有限公司將本人/吾等個人資料用於中華通北向交易之個人資料收集聲明所載的目的。

Client Signature 客戶簽署： _____

Client Name 客戶名稱： _____

Date 日期： _____