



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

Client Full Name: _____ Account No.: _____

Consent Letter on Northbound China Stock Connect Orders (Investor Identification Model) and the Personal Information Collection Statement

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 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 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 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 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 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.

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 agree to PSHK's use of my/our personal data for the purposes set out in the Personal Information Collection Statement.

Client Signature: _____ Date: _____



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致: 輝立證券(香港)有限公司 (香港證監會中央編號: AAG460)
香港金鐘道95號統一中心11樓

客戶姓名/名稱: _____ 客戶帳號: _____

中華通北向交易委託(投資者識別碼模式)及個人資料收集聲明 - 客戶同意書

處理個人資料作為中華通北向交易的一部分

您/ 汝等知悉及同意輝立證券(香港)有限公司(統稱“輝立證券”)在通過中華通北向交易服務過程中,輝立證券將被要求進行以下工作:

- (i) 對提交到中華通交易系統的每一個客戶委託,增加一個獨一無二且專屬於客戶的券商客戶編碼(以下簡稱“BCAN”)(適用於客戶持有單一帳戶)或分配給客戶的聯名帳戶的BCAN碼(適用於客戶持有聯名帳戶);及
- (ii) 向香港交易所(以下簡稱“交易所”)提供已經編配給客戶的BCAN及相關客戶識別資訊(以下稱“客戶識別資訊”或“CID”),交易所可根據交易所規則而不時提出要求。

在處理與您帳戶相關的個人資料以及向您提供服務時,在不限制輝立證券已經向您作出的通知和已經取得的您的同意情況下,作為中華通北向交易服務的一部分,您知悉並同意輝立證券可能會收集、存儲、使用、披露並傳輸您的個人資料,包括以下內容:

- (a) 不時向交易所及其相關聯交所子公司披露及傳輸您的BCAN及CID,包括向中華通交易系統輸入委託指令時標明您的BCAN,並將進一步即時傳遞至相關中華通市場運營者;
- (b) 允許交易所及其相關聯交所子公司:(i) 收集、使用以及存儲您的BCAN、CID以及由相關中華通結算機構為市場監測監控目的和執行交易所規則而合併、驗證和配對的BCAN和CID資訊(資訊由中華通結算機構或交易所保存);(ii) 為符合下文(c)及(d)規定的目的,不時將有關資料(直接或通過相關中華通結算機構)轉移給中華通市場運營者;(iii) 向香港的相關監管機構和執法機構披露有關資料,以促進其香港金融市場法定職能的履行;

- (c) 允許相關中華通結算機構：(i) 收集、使用以及儲存您的BCAN和CID，以促進BCAN和CID的整合和驗證，以及BCAN和CID與投資者資料庫的配對，並將相應整合、驗證和配對的BCAN和CID資訊提供給相關中華通市場運營者、交易所及其相關聯交所子公司；(ii) 使用您的BCAN和CID來履行其證券帳戶管理的監管職能；(iii) 向有管轄權的內地監管機構及執法機構披露有關資料，以促進其內地金融市場的監管、監察及執法職能的履行；
- (d) 允許相關中華通市場運營者：(i) 收集、使用以及存儲您的BCAN和CID，通過使用中華通服務及執行相關中華通市場營運商的規則，以促進其中華通市場的證券交易的監測監控；(ii) 向內地監管機構和執法機構披露有關資料，以協助履行其對金融市場的監管、監察及執法職能。

通過向輝立證券發出關於中華通證券交易的指示，您知悉並同意，為符合與中華通北向交易相關而不時更新的交易所要求和規則，輝立證券可以使用您的個人資料。您亦知悉，儘管您隨後聲稱撤回同意，但無論在您聲稱撤銷同意之前或之後，您的個人資料仍可繼續存儲、使用、披露、轉移以及其他處理以達到上述目的。

未能提供客戶同意書或個人資料所須承擔的後果

未能向輝立證券提供您的個人資料或作出上述同意，意味著根據具體情況輝立證券將不會或不能執行您的交易指令或向您提供中華通北向交易服務。

確認及同意

本人/吾等確認本人/吾等已經閱讀並理解輝立證券個人資料收集聲明的內容。通過勾選下面的方框，本人/吾等同意輝立證券根據個人資料收集聲明中的條款和目的使用我的個人資料。

本人/吾等同意輝立證券將本人/吾等的個人資料用於個人資料收集聲明所載的目的。

客戶簽署 _____

日期 _____