

**Addendum in relation to
Investor identification – on-exchange orders and off-exchange trades reportable
to SEHK (“HKIDR”) and Reporting of OTC Securities transactions (“OTCR”)**

This Addendum shall apply to all transactions in relation to the securities listed or traded on the Stock Exchange of Hong Kong (“SEHK”) which BOCOM International Securities Limited and BOCOM International Asset Management Limited (“BOCOM”) conduct on the Client’s behalf. The terms and conditions under this Addendum are supplemental to, and without prejudice to, the Terms and Conditions for Securities Trading (“**Terms and Conditions**”) and/or other relevant agreements between the Client and BOCOM. This Addendum shall prevail in the event of conflicts or inconsistency with any other agreements between the Client and BOCOM.

Clients who conduct transactions in relation to the securities listed or traded on the SEHK through BOCOM are deemed to have accepted and agreed to the terms and conditions listed in this Addendum.

Further and specific terms and conditions and risk disclosure statements are applicable to services provided by BOCOM in relation to HKIDR and OTCR. In particular, such services are subject to specific restrictions imposed by the rules and requirements of the relevant Exchanges, Clearing Houses, regulators and jurisdictions. Detailed information about HKIDR can be found on SEHK's webpage, in particular, the "Information Paper" (the "HKIDR Documentation"). The Client declares that he has read, understood and agreed to all such terms and conditions and information as set out in the documents referred to herein and undertakes to keep himself fully apprised of any updates and amendments to these documents in a timely manner. To the extent that any additional restrictions and requirements under the HKIDR apply to investors, such restrictions and requirements shall automatically apply to the Client in respect of the Account under this Agreement, whenever the Client instructs BOCOM to effect HKIDR Transactions under this Agreement.

Additional Terms and Conditions of the HKIDR and OTCR

Warning: THIS DOCUMENT CONTAINS A BRIEF SUMMARY OF SOME (AND NOT ALL) OF THE FEATURES OF HKIDR AND OTCR AND IS NOT MEANT TO BE AN EXHAUSTIVE SUMMARY.

IF YOU ARE IN ANY DOUBT ABOUT THE RISKS INVOLVED IN HKIDR AND OTCR, YOU ARE ADVISED TO SEEK INDEPENDENT FINANCIAL, LEGAL OR OTHER PROFESSIONAL ADVICE. THE CONTENTS OF THIS DOCUMENT HAVE NOT BEEN REVIEWED BY ANY REGULATORY AUTHORITY.

Additional Terms and Conditions for HKIDR and OTCR

These terms and conditions set out the rights and obligations of you in connection with your use of BOCOM's trading services in relation to the securities listed or traded on the SEHK. All these terms and conditions are legally binding, so please read them through carefully before you agree to be bound by them.

1 Interpretation

1.1 In the event of any conflict or discrepancy between these terms and conditions and (a) the Terms and Conditions for Securities Services or (b) the terms of any other agreement subsisting from time to time between BOCOM and the Client or (c) the terms of any agreement between such Client and any other BOCOM Affiliate in respect of dealings in Securities, these terms and conditions shall prevail. For the avoidance of doubt, the Client Terms shall apply in relation to the giving of instructions by telephone or via the Internet.

1.2 In these terms and conditions,

“Listed securities” means any security listed or traded on SEHK's trading system;

“SEHK” means The Stock Exchange of Hong Kong Limited;

“CID” means the client identification data;

“Off-exchange Trade Reporting” refers to the reporting of an off-exchange trade directly by an exchange participant to SEHK according to its rules;

“On-exchange order” means a buy or sell order for a listed security which is to be executed on the automatic order matching system operated by SEHK;

“Off-exchange order” means a buy or sell order for a listed security which is to be executed outside SEHK's automatic order matching system and the consummation of which would result in an off-exchange trade; and

“Off-exchange trade” means a trade of a listed security which takes place outside SEHK's automatic order matching system but is reportable by exchange participants to SEHK pursuant to its rules.

2 Notice

2.1 Under the HKIDR and OTCR, BOCOM is required to

- (a) collect up-to-date CID from client; and
- (b) obtain written or other express consent from client for the transfer of client's personal data to the relevant regulator(s).

2.2 In order to comply with the HKIDR, below is the waterfall of the identity documents:

- (a) For an individual client (order of priority)
 - (1) HKID card
 - (2) national identification document
 - (3) passport
- (b) For a corporate client (order of priority)
 - (1) LEI registration document

- (2) certificate of incorporation
 - (3) business registration certificate
 - (4) other equivalent documents
 - (c) For a client that is a trust
 - For trustee, please refer to corporate or individual client as set out above
 - For a trust which is an investment fund (i.e. collective investment schemes), please refer to corporate client asset out above
 - (d) For clients of a joint account
 - the CID for all clients (in line with the above proposed requirements, depending on the nature of the client) named for a joint account should be provided. For waterfall of the identity documents, please refer to individual client as set out above
- 2.3 The Client undertake to promptly notify BOCOM if there are any updates to the above listed personal data.
- 2.4 Failure to provide BOCOM with client's personal data or consent as described in "Personal Information Collection Statement Concerning Trading of Securities Listed on the Stock Exchange of Hong Kong" may mean that BOCOM will not, or will no longer be able to, as the case may be, carry out client's trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw client's existing holdings of securities, if any).

3 Representations and Warranties

- 3.1 Part 3 is applicable to the client which is a licensed corporation or registered institution.
- 3.2 The client is required by BOCOM to declare which regulated activity the securities account is used to carry on. If a securities account is used for both type 1 regulated activity and type 9 regulated activity, BOCOM may require the client to open separate accounts for different regulated activities.
- 3.3 The Client shall forthwith notify and make known to BOCOM in writing of any changes in the usage of the securities account, BOCOM shall reserve the right to open a separate account for different regulated activities