

**Addendum in relation to Investor identification and Reporting of OTC Securities transactions (“OTCR”)**

The following clause is amended in the manner stated below.

Original clause item	Revised clause item	Amendment (Newly added content will be underlined, and deleted content will be crossed)
N/A	<b>3. Representations and Warranties</b>	<p>A sub-clause is revised under “<b>Representations and Warranties</b>”:</p> <p>“3.2  <del>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.</del>  <u>If the Client declares in any document that its client type is both Legal Entity – Fund Manager and Legal Entity – Others , BOCOM will open two accounts to you for different Client Types.”</u></p> <p>“3.3    The Client shall forthwith notify and make known to BOCOM in writing of any change in the <u>usage of the securities account</u> <del>purpose of the account which lead to the change of the Client Type</del>, BOCOM shall reserve the right to open a separate account <del>to you</del> <u>for different regulated activities client types.</u>”</p> <p>“3.4    <u>If the Client is the Relevant Regulated Intermediaries defined under the HKIDR and OTCR, the Client should:</u>  <u>(a) ensure that a unique BCAN be assigned to its relevant clients and include its relevant clients’</u></p>

		<p><u>BCAN in the order information for each on-exchange order as well as each off-exchange order and included in all reporting of off-exchange trades to SEHK; and</u></p> <p><u>(b) arrange to submit the BCAN-CID mapping file to a data repository maintained by SEHK by a prescribed time and ensure all the information in the BCAN-CID mapping file is accurate; and</u></p> <p><u>(c) acknowledges that BOCOM will not be liable for any loss that may thereby be incurred by the Client's failure to fulfill the responsibilities under the HKIDR and OTCR."</u></p>
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