

PERSONAL INFORMATION COLLECTION STATEMENT
CONCERNING TRADING OF SECURITIES LISTED ON THE STOCK EXCHANGE OF HONG KONG
有關買賣於香港聯合交易所上市證券的個人資料收集聲明

Processing of Personal Data as part of Trading in Securities Listed on the Stock Exchange of Hong Kong
處理個人資料作為香港聯合交易所上市證券交易的一部份

You acknowledge and agree that in providing services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong ("SEHK") and for complying with the rules and requirements of SEHK and the Securities and Futures Commission ("SFC") in effect from time to time, BOCOM International Securities Limited ("we" or "BOCOM"), will be required to:

您／您們明白並同意，交銀國際證券有限公司（下稱「我司」或「交銀國際」）為了向您／您們提供與在香港聯合交易所（「聯交所」）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（「證監會」）的規則和規定，我司需要：

- (i) tag each of your orders submitted to the SEHK with a Broker-to-Client Assigned Number ("BCAN") that is unique to you or the BCAN that is assigned to your joint account with us, as appropriate; and
在您／您們的每個提交予聯交所的交易指令中附加券商客戶編碼（「券商客戶編碼」），此是您唯一的券商客戶編碼或（如賬戶為聯名賬戶）您們聯名賬戶獲分配的券商客戶編碼，視情況而定；及
- (ii) provide to SEHK your assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to you as the SEHK may request from time to time under the Rules of the Exchange of SEHK.

向聯交所提供您／您們獲分配的券商客戶編碼及聯交所可能根據《聯交所規則》不時要求索取的關於您／您們的身份識別資料（「識別信息」）。

Notwithstanding any restriction, purpose or condition set out in any previous agreement or 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, process, use, disclose and transfer any personal data relating to you (including your CID and BCAN(s)) as part of our SEHK listed securities trading service, including but not limited to –

儘管此前我司對您／您們的帳戶或向您／您們提供服務時就處理您／您們的個人資料發出的任何通知或協議中列出了任何限制、目的或條件或已向您／您們取得了同意，您／您們確認及同意，作為我司提供聯交所上市證券交易服務的一部份，我司可以作出下述的收集、儲存、處理、使用、披露及轉移您／您們的個人資料（包括您／您們的客戶識別信息及券商客戶編碼）的行為，包括但不限於——

- (a) disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;

根據不時生效的聯交所及證監會規則和規定，向聯交所及／或證監會披露及轉移您／您的個人資料（包括客戶識別信息及券商客戶編碼）；

- (b) allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight;

允許聯交所：(i)收集、儲存、處理及使用您／您的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii)向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii)為監察市場目的而使用有關資料進行分析；

- (c) allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements; and

允許證監會：(i)收集、儲存、處理及使用您／您的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料；及

- (d) providing BCAN to Hong Kong Securities Clearing Company Limited ("HKSCC") allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store your CID and transfer your CID to the issuer's share registrar to enable HKSCC and/ or the issuer's share registrar to verify that you have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store your CID and transfer your CID to the issuer, the issuer's share registrar, the SFC, SEHK and any other party involved in the IPO for the purposes of processing your application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.

向香港中央結算有限公司（「香港結算」）提供券商客戶編碼以允許香港結算：(i)從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於您／您的客戶識別信息，及向發行人的股份過戶登記處轉移您／您的客戶識別信息，以便核實您／您們未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及(ii)處理及儲存您／您的客戶識別信息，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移您／您的客戶識別信息，以便處理您／您們對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。

Consequences of failing to provide personal data or consent

未能提供個人資料或同意的後果

By instructing us in respect of any transaction relating to securities listed or traded on SEHK, you acknowledge and agree that we may use your personal data for the purpose of complying with the relevant rules and requirements of SEHK and the SFC in effect from time to time. You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used,

disclosed or transferred for the above purposes, whether before or after such purported withdrawal of consent.

通過您／您們指示我司進行任何在聯交所上市或買賣的證券交易時，您／您們確認及同意，我司可以遵守不時生效的聯交所與證監會相關的規則和規定為目的，使用您／您們的個人資料。您／您們亦同意，即使您／您們其後宣稱撤回同意，您／您們的個人資料（不論在您／您們撤回同意前或後）仍可繼續被儲存、處理、使用、披露或轉移以作上述用途。

Failure to provide us with your personal data or consent as described above may mean that we will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

您／您們如未能向我司提供個人資料或上述同意，可能意味著我司不會或不能夠再（視情況而定）執行您／您們的交易指示或向您／您們提供證券相關服務，惟出售、轉出或提取您／您們現有的證券持倉（如有）除外。

REPLY SLIP

回覆函

To: BOCOM International Securities Limited

致：交銀國際證券有限公司

Re: Consent and Confirmation 同意和確認

Part I 第一部
<p>I/ We acknowledge I/we have read and fully understood the content of “Personal Information Collection Statement Concerning Trading of Securities Listed on the Stock Exchange of Hong Kong” issued by BOCOM (the “Statement”) and this reply slip. By signing this reply slip, I/ we signify my/ our consent for BOCOM to collect, store, use, disclose and transfer my/our personal data on the terms of and for the purposes set out in the Statement. I/ we confirm that I/ we sign this reply slip of my own free will.</p> <p>我／我們確認我／我們已閱讀並完全理解由交銀國際所發布的「有關買賣於香港聯合交易所上市證券的個人資料收集聲明」（「聲明」）以及此回覆函之內容。通過簽署此回覆函，我／我們表示我／我們同意交銀國際可根據聲明的條款和目的收集、存儲、使用、披露和轉移我／我們的個人資料。我／我們確認我／我們自願簽署此回覆函。</p>

<p>Client Signature 客戶簽署</p> <p><i>For joint account, all account holders must sign here.</i></p> <p>如帳戶為聯名帳戶，所有聯名帳戶的持有人均須簽署。</p>	
<p>Name of Client 客戶名稱</p> <p><i>For joint account, all account holders' names should be provided.</i></p> <p>如帳戶為聯名帳戶，須提供所有帳戶持有人的名稱。</p>	
<p>Account Number 賬戶號碼</p>	
<p>Date 日期</p>	

Please return the completed Reply Slip to us by 1) mail, 2) email at reply@bocomgroup.com or 3) fax at (852) 3426 9702.

請透過 1) 郵寄、2) 電郵至 reply@bocomgroup.com 或 3) 傳真至 (852) 3426 9702 交回已填妥的回覆函。