Client Consent on the Personal Information Collection Statement and Undertaking of updates on Client Identification Data in connection to the Investor Identification Model and OTC securities reporting

有關投資者識別碼模及場外證券匯報個人資料收集聲明及承諾更新客戶識別信息之客戶同意書

The terms Broker-to-Client Assigned Number ("**BCAN**") and Client Identification Data ("**CID**") stated below shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission. Other capitalized terms used below shall have the same meanings as defined in the Rules of the Stock Exchange of Hong Kong Limited ("**SEHK**"). If there is any inconsistency or ambiguity between the English version and the Chinese version, the English version shall prevail. 以下段落所述的券商客戶編碼及客戶識別信息具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第 5.6 段所界定的含義。以下段落使用的其他術語，與香港聯合交易所有限公司（「**聯交所**」）規則內的術語具有相同的含義。如中、英文兩個版本有任何抵觸或不相符之處，應以英文版本為準。

Client Identification Data ("CID") 客戶識別信息:
• Client's full name on identity document ("ID"), ID's issuing jurisdiction, ID type and ID number 客戶的身份證明文件上所示的全名，身份證明文件的簽發司法管轄區，身份證明文件類別及身份證明文件號碼
• Waterfall for acceptability of identity document for the CID 客戶識別信息中可接納的身份證明文件的優先排序表:
(1) an individual: HKID card -> national ID -> passport 個人客戶: 香港身份證 -> 國民身份證明文件 -> 護照
(2) a corporate: LEI document -> certificate of incorporation -> business registration certificate -> other equivalent documents 公司: 法律實體識別編碼（LEI）文件 -> 公司註冊證明書 -> 商業登記證 -> 其他同等文件
(3) a trust: Waterfall of CID to follow (1) or (2) depending on the account holder's nature. However in the case of a trust which is an investment fund, CID of the asset management company or the individual fund, as appropriate, which has opened a trading account with the relevant licensed or registered person should be obtained 信託: 客戶識別信息的排序表遵循(1)或(2)，視乎賬戶持有人的性質而定。然而，若信託是一個投資基金，則應收集在相關持牌人或註冊人開立交易賬戶的資產管理公司或個別基金（視何者適用而定）的客戶識別信息。

I/We acknowledge and agree that SDICS International Securities (Hong Kong) Limited ("**SDICSI SECURITIES**") may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our CID and BCAN(s)) as required for SDICSI SECURITIES to provide services to me/us in relation to securities listed or traded on the SEHK and for complying with the rules and requirements of SEHK and the Securities and Futures Commission ("**SFC**") in effect from time to time. Without limiting the foregoing, this includes: 本人/吾等已閱讀及明白，國證國際證券（香港）有限公司（「**國證國際證券**」）為了向本人/吾等提供與在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，國證國際證券可收集、儲存、處理、使用、披露及轉 移與本人/吾等有關的個人資料（包括本人/吾等的客戶識別信息及券商 客戶編碼）。在不限制以上的內容的前提下，當中包括:

(a)   disclosing and transferring my/our 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 披露及轉移本人/吾等的個人資料（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 my/our personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the

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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; and 允許聯交所： (i) 收集、儲存、處理及使用本人/吾等的個人資料（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；及

(c)   allowing the SFC to: (i) collect, store, process and use my/our 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. 允許證監會：(i) 收集、儲存、處理及使用本人/吾等的個人資料（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。

By instructing SDICSI SECURITIES in respect of any transaction, I/we acknowledge and agree that SDICSI SECURITIES may use my/our personal data (including CID and/or BCAN(s)) for the purposes of complying with the requirements of SFC or SEHK and its rules as in force from time to time. I/We also acknowledge that despite any subsequent purported withdrawal of consent by me/us, my/our personal data (including CID and/or BCAN(s)) may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent. 通過就有關向國證國際證券發出的任何證券交易指示，本人/吾等確認及同意國證國際證券可使用本人/吾等的個人資料（包括客戶識別信息及/或券商客戶編碼），以遵守證監會或聯交所不時生效的規則。本人/吾等亦確認，即使本人/吾等其後表示有意撤回同意，本人/吾等的個人資料（包括客戶識別信息及/或券商客戶編碼）仍可能繼續被儲存、使用、披露、轉移及以其他方式處理以達到上述目的，不論是在表示有意撤回同意之前或之後亦然。

Consequences of failing to provide Personal Data or Consent 未能提供個人資料或同意的後果

I/We acknowledge and agree that failure to provide SDICSI SECURITIES with my/our personal data or consent as described above may mean that SDICSI SECURITIES will not, or no longer be able, as the case may be, carry out my/our trading instructions or provide me/us with securities related services (other than to sell, transfer out or withdraw my/our existing holdings of securities, if any). 本人/吾等確認及同意未能如上所述向國證國際證券提供本人/吾等的個人資料或同意，則國證國際證券可能不會或不能繼續（視情況而定）執行本人/吾等的交易指示或向本人/吾等提供證券相關服務，惟出售、轉出或提取本人/吾等現有的證券持倉（如有）除外。

Acknowledgement and Consent 確認及同意

I/We acknowledge I/we have read and understand the content of the Client Consent on the Personal Information Collection Statement and Undertaking of updates on Client Identification Data in connection to the Investor Identification Model and OTC securities reporting("**Client Consent**") of SDICSI SECURITIES. By ticking the box of AGREE as below, I/we signify my/our consent for SDICSI SECURITIES to use my/our personal data (including CID and/or BCAN(s)) for the purposes on the terms set out in this Client Consent and signify my/our undertaking to provide SDICSI SECURITIES with correct, accurate and updated personal data

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(including CID) by following the waterfall for acceptability of identity document for the CID set out above and to notify SDICSI SECURITIES for any change(s) of my/our personal data as soon as reasonably practicable. 本人/吾等確認已閱讀及理解國證國際證券的有關投資者識別碼模及場外證券匯報個人資料收集聲明及承諾更新客戶識別信息之客戶同意書（「**客戶同意書**」）的內容。一經勾選下列同意方框，即表示本人/吾等同意國證國際證券根據客戶同意書的條款及其中所載目的使用我的個人資料（包括客戶識別信息及/或券商客戶編碼）及表示本人/吾等承諾按照上述客戶識別信息中可接納的身份證明文件的優先排序表向國證國際證券提供正確、準確和更新的個人資料（包括客戶識別信息）及承諾如本人/吾等的個人資料有所改變會於合理的切實可行範圍內盡快通知國證國際證券有關更改的個人資料。

I/We ☑ AGREE / ☐ DISAGREE to the right of SDICSI SECURITIES to use my/our personal data (including CID and/or BCAN(s)) for the purposes set out in this Client Consent and I/we shall undertake to notify SDICSI SECURITIES for any change(s) of my/our personal data (including CID) by completing and submitting Change of Client Information Form as soon as reasonably practicable. 本人/吾等 ☑同意 / ☐不同意國證國際證券有權根據本客戶同意書的條款及其中所載目的使用本人/吾等的個人資料（包括客戶識別信息及/或券商客戶編碼）及本人/吾等承諾如本人/吾等的個人資料（包括客戶識別信息）有所改變，會於合理的切實可行範圍內盡快透過填寫及提交更改客戶資料表格通知國證國際證券有關更改的個人資料。

Signature of Account Holder 賬戶持有人簽名:	
Account name 賬戶名稱:	
Account number 賬戶號碼:	Date 日期: