

Personal Information Collection Statement concerning China Connect Northbound trading Service

The Statement applies to any activities in relation to Shanghai Connect and Shenzhen Connect Northbound trading (together "China Connect Northbound Trading"). It supplements and/or amends the Client's Agreement ("Client Agreement") entered into between the Client and Prudential Brokerage Limited ("PBL"). Terms defined in the Client Agreement have the same meanings in this Statement unless stated otherwise.

Processing of Personal Data as part of the China Connect Northbound Trading Service

The Client acknowledges and agrees that in providing PBL's China Connect Northbound Trading Service to the Client, PBL will be required to:

- (i) tag each of the Client's orders submitted to the China Stock Connect System ("CSC") with a Broker-to-Client Assigned Number ("BCAN") that is unique to the Client or the BCAN that is assigned to the Client's joint account with PBL, as appropriate; and
- (ii) provide to the Exchange the Client's assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to the Client as the Exchange may request from time to time under the Rules of the Exchange.

Without limitation to any notification PBL has given the Client or consent PBL has obtained from the Client in respect of the processing of the Client's personal data in connection with the Client's account and PBL's services to the Client, the Client acknowledges and agrees that PBL may collect, store, use, disclose and transfer personal data relating to the Client as required as part of PBL China Connect Northbound Trading Service, including as follows:

- (a) to disclose and transfer the Client's BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating the Client's 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 the Client's 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 the Client's 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 the Client's 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 the Client's 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 PBL in respect of any transaction relating to China Connect Securities, the Client acknowledges and agrees that PBL may use the Client's 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 China Connect Northbound Trading. The Client also acknowledges that despite any subsequent purported withdrawal of consent by the Client, the Client's 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 PBL with the Client's personal data or consent as described above may mean that PBL will not, or no longer be able, as the case may be, to carry out the Client's trading instructions or provide the Client with PBL's China Connect Northbound Trading Service.

Acknowledgement and Consent

I/We, the Client of PBL, acknowledge I/we have read and understand the content of the Personal Information Collection Statement concerning China Connect Northbound trading Service of PBL. By ticking the box below, I/We signify my/our consent for PBL to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement. In case of discrepancies between the English and Chinese versions of this statement, the English version shall prevail.

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

Client Signature

Account Name :

Account No. :

Date :

中華通北向交易服務之個人資料收集條文

本條文適用所有有關滬港通及深港通北向交易（合稱「中華通北向交易」）活動，亦補充及/或修訂客戶與信誠證券有限公司（「信誠證券」）簽定之客戶帳戶協議（「客戶協議」）的內容。除非另有所指，否則本條文的詞彙定義與客戶協議內的相同。

中華通北向交易服務的個人資料處理

客戶明白及同意，信誠證券為客戶提供中華通北向交易服務時，信誠證券須要：

- (i) 在提交每一客戶交易指令予 CSC 系統時，在交易指令中附加上客戶唯一的券商客戶編碼或客戶聯名帳戶（如適用）獲分配的券商客戶編碼；及
- (ii) 向交易所提供客戶唯一的券商客戶編碼及一切交易所按照其規則不時要求索取的關於客戶的身份識別資料（客戶識別信息）。

不受限於信誠證券就著因應客戶的帳戶或提供服務予客戶而處理客戶個人資料而給予客戶的通知或取得的客戶同意，客戶明白及同意，作為信誠證券中華通北向交易服務的一部份，信誠證券可以作出下述的收集、儲存、使用、披露及轉移客戶的個人資料的行為：

- (a) 不時向交易所及相關交易所附屬公司披露及轉移客戶的券商客戶編碼及客戶識別信息，包括在 CSC 系統輸入中華通北向交易指令時顯示客戶的券商客戶編碼，並實時轉傳至相關中華通證券交易營運者；
- (b) 容許交易所及各相關交易所附屬公司：(i) 收集、使用及儲存客戶的券商客戶編碼及客戶識別信息以及相關中華通結算所所提供（以儲存而言，它們通過香港交易所進行）的合併、核實及配對的券商客戶編碼及客戶識別信息資料，以作市場監察及執行交易所規則用途；(ii) 基於下列(c)及(d)所述目的，不時（直接或通過相關中華通結算所）轉移該等資料予相關中華通證券交易營運者；及(iii) 披露該等資料予香港相關監管機構及執法機構，以配合其履行關於香港金融市場的法定職能；
- (c) 容許相關中華通結算所：(i) 收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以對券商客戶編碼及客戶識別信息作出合併及核實並與其投資者身份識別資料庫作出配對，及把合併、核實及配對的券商客戶編碼及客戶識別信息資料提供予相關中華通證券交易營運者、交易所及相關交易所附屬公司；(ii) 使用客戶的券商客戶編碼及客戶識別信息，以履行其證券帳戶管理的法定職能；及(iii) 披露該等資料予中國內地相關監管機構及執法機構，以配合其履行關於中國內地金融市場的監管、監察及執法職能；及
- (d) 容許相關中華通證券交易營運者：(i) 收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以監察通過使用中華通服務在相關中華通市場進行之證券交易，和執行相關中華通證券交易營運者之規則；及(ii) 披露該等資料予中國內地相關監管機構及執法機構，以配合其履行關於中國內地金融市場的監管、監察及執法職能。

當客戶指示信誠證券進行任何中華通證券的交易時，客戶明白及同意，信誠證券可以使用客戶的個人資料於遵守交易所的要求及其對中華通北向交易不時生效的規則。客戶也明白，即使未來客戶計劃撤消其同意，客戶的個人資料（不論客戶撤消客戶同意前或後）會繼續被儲存、使用、披露、轉移或以其他方式處理，以達至上述目的。

未能提供個人資料或同意的後果

客戶未能如上述向信誠證券提供個人資料或同意，將可能導致信誠證券（按情況）不會或不可繼續執行客戶的交易指示或向客戶提供中華通北向交易服務。

確認及同意

本人/吾等作為信誠證券客戶，確認本人/吾等已閱讀並了解中華通北向交易服務之個人資料收集條文的內容。通過勾選下面的方框，本人/吾等表示本人/吾等同意信誠證券根據個人信息收集聲明中的條款和目的使用本人/吾等之個人資料。倘本條文的中英文版本出現任何分歧，則概以英文版為準。

本人/吾等同意信誠證券將本人/吾等之個人資料用於個人資料收集條文所載的目的。

客戶簽署

帳戶名稱:

帳戶號碼:

日期 :