

申萬宏源證券（香港）有限公司
有關香港投資者識別碼制度及場外證券交易匯報制度之資料收集聲明

閣下明白並同意，我司為了向閣下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，我司可收集、儲存、處理、使用、披露及轉移與閣下有關係的個人資料（包括閣下的客戶識別信息及券商客戶編碼（香港））。在不限制以上的內容的前提下，當中包括—

- (a) 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閣下的個人資料（包括客戶識別信息及券商客戶編碼（香港））；
- (b) 允許聯交所：(i) 收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼（香港）），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) 允許證監會：(i) 收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼（香港）），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。

閣下亦同意，即使閣下其後宣稱撤回同意，我可在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

根據證監會的要求，我司須按照以下身份證明文件類型的優先順序（排序表規定）從閣下收集最新的客戶識別信息：

- (a) 個人客戶：
 - (1) 香港身份證；(2) 國民身分證證明文件；或(3) 護照；
- (b) 公司客戶：
 - (1) 法人機構識別編碼(LEI)註冊文件；(2) 公司註冊證明書；(3) 商業登記證；或(4) 其他同等文件
- (c) 客戶是信託：
 - (i) 為自然人的受託人的資料：
 - (1) 香港身份證；(2) 國民身分證證明文件；或(3) 護照；
 - (ii) 為法團的受託人的資料：
 - (1) 法人機構識別編碼(LEI)註冊文件；(2) 公司註冊證明書；(3) 商業登記證；或(4) 其他同等文件
- (d) 聯名客戶：
 - 聯名戶口的所有客戶的客戶識別信息(須符合上述要求，取決於客戶的性質)應根據上述客戶識別信息排序表提供。

請注意，證監會嚴格要求根據上述排序表規定要求提供身份證明文件類型。閣下需要遵從上述排序表規定要求以提供客戶識別信息，閣下保證、聲明並承諾(1) 向我司提供的客戶個人資料（包括客戶識別信息和券商客戶編碼（香港））在各方面均真實準確、完整且沒有誤導性；(2) 客戶識別信息的提供遵循了排序表規定；(3) 閣下提供給我司的客戶識別信息等任何個人資料發生任何變化，閣下將及時通知我司。

閣下不能如上述向我司提供個人資料或拒絕或撤回同意或提供更新的客戶識別信息，可能意味著我司不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

備註：

- (1) 本條文所述的“券商客戶編碼（香港）”指一個符合聯交所訂明的格式及由相關持牌人或註冊人按照聯交所的規定產生的唯一識別碼；
- (2) 本條文所述的“客戶識別信息”指與獲編配券商客戶編碼（香港）的客戶有關的以下資料：
 - (i) 客戶的身分證明文件上所示的全名；
 - (ii) 身分證明文件的簽發國家或司法管轄區；
 - (iii) 身分證明文件類別；及
 - (iv) 身分證明文件號碼。

重要提示

- 1. 本文可被翻譯成任何其他語言，但在任何情況下以英文本為準。
- 2. 如閣下對以上事宜有任何疑問，請聯繫閣下的客戶經理或我司客戶服務部。

確認及同意

本人/吾等確認吾等已閱讀並明白申萬宏源證券（香港）有限公司上述有關香港投資者識別碼制度及場外證券交易匯報制度之資料收集聲明。本人/吾等表示吾等同意申萬宏源證券（香港）有限公司根據資料收集聲明中的條款和目的使用本人/吾等的資料。

本人/吾等同意申萬宏源證券（香港）有限公司將本人/吾等資料用於資料收集聲明所載有的目的。

客戶簽署(如屬聯名帳戶, 需所有戶口持有人簽署)

客戶名稱: _____

客戶號碼: _____

日期: _____

Shenwan Hongyuan Securities (H.K.) Limited
Information Collection Statement concerning Hong Kong Investor Identification Regime and the
Over-the-counter Securities Transactions Reporting Regime

You acknowledge and agree that we may collect, store, process, use, disclose and transfer personal data relating to you (including your personal information ("Client Identification Data" or "CID" and/or BCAN(s)(HK)) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (the "Exchange") and for complying with the rules and requirements of the Exchange and the Securities and Futures Commission ("SFC") in effect from time to time. Without limiting the foregoing, this includes –

- (a) disclosing and transferring your personal data (including CID and BCAN(s)(HK)) to the Exchange and/or the SFC in accordance with the rules and requirements of the Exchange and the SFC in effect from time to time;
- (b) allowing the Exchange to: (i) collect, store, process and use your personal data (including CID and BCAN(s)(HK)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; 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; and
- (c) allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)(HK)) 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.

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 after such purported withdrawal of consent.

We are required to obtain the updated CID from you according to the order of priority on the identity document type (i.e. waterfall requirement) as required by the SFC as below:

- (a) Individual client:
 - (1) HKID Card; (2) National Identification Document; or (3) Passport
- (b) Client that is a corporation:
 - (1) Legal Entity Identifier ("LEI") registration document; (2) Certificate of Incorporation; (3) Business Registration Certificate; or (4) other equivalent identity documents
- (c) Client that is a trust:
 - (i) the information of trustee who is a natural person:
 - (1) HKID Card; (2) National Identification Document; or (3) Passport
 - (ii) the information of trustee who is a corporation:
 - (1) LEI registration document; (2) Certificate of Incorporation; (3) Business Registration Certificate; or (4) other equivalent identity documentsHowever, in the case of a trust which is an investment fund, the CID of asset management company or the individual fund should be provided.
- (d) Clients of a joint account:

The CID for all clients (in line with the above requirements, depending on the nature of the client) named for a joint account should be provided according to the above CID waterfall requirement.

Please note that the SFC strictly requires the provision of identity document type according to the above waterfall requirement. You are also required to follow the above waterfall requirement for the provision of CID. You warrant, represent and undertake that (1) your personal data (including CID and BCAN(s)(HK)) provided to us are true and accurate in all respects, complete and not misleading; (2) the provision of CID has followed the waterfall requirements; and (3) you will promptly notify us in case of any change in any personal data including CID provided to us.

Failure to provide us with your personal data or withholding or withdrawing consent or updated CID 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).

Note:

- (1) For purposes of this document, the term "BCAN(HK)" used in this section means a "Broker-to-Client Assigned Number", being a unique identification code in the format prescribed by the Exchange, generated by a relevant licensed or registered person in accordance with the Exchange's requirements;
- (2) The term "CID" shall mean the following information in relation to a client to whom a BCAN(HK) is assigned:
 - (i) the full name of the client as shown in the client's identity document;
 - (ii) the issuing country or jurisdiction of the identity document;
 - (iii) the identity document type; and
 - (iv) the identity document number.

Important Notes

- 1. This document may be translated into any other language but, in the event of any conflict, the English version shall apply and prevail.
- 2. For questions related to the matter herein, please contact your designated account executive or our Customer Service Department.

Acknowledgement and Consent

I/we acknowledge I/we have read and understand the content of this Information Collection Statement of Shenwan Hongyuan Securities (H.K.) Limited concerning Hong Kong Investor Identification Regime and the Over-the-counter Securities Transactions Reporting Regime. I/we signify my/our consent for Shenwan Hongyuan Securities (H.K.) Limited to use my/our data on the terms of and for the purposes set out in the Information Collection Statement.

I/we agree to the use by Shenwan Hongyuan Securities (H.K.) Limited of our data for the purposes set out in this Information Collection Statement.

Client's Signature (for joint account, the signature of all account holders are required)

Client name: _____

Account no.: _____

Date: _____